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AN ANALYSIS OF PERSONAL AND PROFESSIONAL DEVELOPMENT IN THE UNITED STATES NAVY

by

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Employee development is among the most important functions of any organization. Since employees are arguably an organization's most important asset, organizations have an incentive to invest in, direct, and promote the development of their employees. As an organization, the U.S. Navy, too, provides for the personal and professional development of naval personnel.

This thesis reviews the Navy's personal and professional development program and examines possible use of 360-degree feedback in the development of naval personnel. Three-hundred sixty-degree feedback, also known as "multi-source or multi-rater" feedback, is a development tool that allows a person to receive feedback from his superiors, peers, subordinates, and in some cases, from internal and external customers.

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LIST OF ACRONYMS AND ABBREVIATIONS

ADAMS   Alcohol and Drug Abuse for Managers/Supervisors

ALAFP   Army Leader Assessment and Feedback Program

AMA   American Management Association

ATI   Adaptive Technology Incorporated

CAL   Center for Army Leadership

CAPT   Captain

CCL   Center for Creative Leadership

CEE   Center for Executive Education

CHIEFEVAL Chief Petty Officer Evaluation

CLS   Command Leadership School

CMC   Command Master Chief

CMDR   Commander

CMEO   Command Management Equal Opportunity

CNA   Center for Naval Analyses

CNL   Center for Naval Leadership

CNO   Chief of Naval Operations

CO   Commanding Officer

COB   Chief of the Boat

CPO   Chief Petty Officer

CPPD   Center for Personal and Professional Development

CSC   Command Senior Chief

CST   Chief Selectee Training

DAPA	Drug and Alcohol Program Advisor
DNLE	Directorate of Navy Leadership and Ethics
DoD	Department of Defense
DON	Department of the Navy
DSPPR	Directorate of Strategic Personnel Policy Research
EL	Executive Level
EO	Equal Opportunity
EVAL	Evaluation
FITREP	Fitness Report
GMT	General Military Training
HSI	Human Synergistics International
IDP	Individual Development Plan
IDS	Integrated Diagnostic System
IFR	Individual Feedback Report
INDOC	Indoctrination
JO	Junior Officer
LCDR	Lieutenant Commander
LSI	Lifestyle Inventory
LTC	Leadership Training Continuum
MC	Major Command
MGIB	Montgomery GI Bill
MGO	Mid-grade Officer
MSAF	Multi-Source Assessment and Feedback

MTOE	Modification Table of Organization and Equipment
MTT	Mobile Training Team
NAVADMIN	Naval Administrative Message
NCBC	Navy Corporate Business Course
NCPACE	Navy College Program for Afloat College Education
NEDP	Navy Executive Development Program
NETC	Naval Education and Training Command
NFLEX	New Flag and Senior Executive Training Symposium
NGN	New Generation Navy
NKO	Navy Knowledge Online
NLCM	Navy Leadership Competency Model
NLCP	Navy Leadership Coaching Program
NLDW	Navy Leadership Development Workshop
NP&P	Navy Pride and Professionalism
NSLS	Navy Senior Leadership Seminar
OCI	Organizational Culture Inventory
OEI	Organizational Effectiveness Inventory
OEL	Office of Executive Learning
OER	Officer Evaluation Report
OIC	Officer-in-Charge
OJT	On-the-Job Training
ORM	Operational Risk Management
PAP	Personal Action Plan
PDI	Personal Development International

PO	Petty Officer
POSLC	Petty Officer Selectee Leadership Course
PQ	Primary Qualification
PREVENT	Personal Responsibility and Values Education and Training
RAN	Royal Australian Navy
ROI	Return-on-Investment
RTC	Recruit Training Command
SES	Senior Executive Service
SLDI	Strategic Leader Development Inventory
SMARTS	System Measures Assesses and Recommends Tailored Solutions
SMCPO	Senior/Master Chief Petty Officer
SPO	Senior Petty Officer
SWO	Surface Warfare Officer
SWOS	Surface Warfare Officer School
TA	Tuition Assistance
U.S.	United States
VOLED	Voluntary Education
WO	Warrant Officer
XO	Executive Officer

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I.   INTRODUCTION

A.   BACKGROUND

Employee development is among the most important functions of any organization. Since employees are arguably an organization's most important asset, organizations have an incentive to invest in, direct, and promote the development of their employees. Employee development refers to any transformation that improves an employee's cognitive or physical abilities (Lopez, 1968). An effective employee development program is centered around both the organization and the employee — a program that balances the organization's obligation to fulfill its mission as well as the individual's need to acquire the necessary skills to be successful and to realize his aspirations in life. Within the organizational context, employee development can be delineated into two distinct categories: personal development and professional development (Coleman, 1979).

Personal development refers to the gradual change that takes place in a person over a period of time. More specifically, personal development refers to an individual's continuous growth toward the realization of his full potential (Lopez, 1968, p. 108). Personal development requires the willingness and full commitment of the individual. True personal development often requires a change in attitude and in behavior (Lopez, 1968). Although personal development is an individual's responsibility, organizations have a role to play in facilitating their employees' personal development. An organization with a culture that supports an individual's personal development

may reap the benefit of a fulfilled employee. In many cases, however, organizations seem more willing to focus on employees' professional development (Beam, 1980).

Professional development refers to actions taken to improve an individual's knowledge and skills and to cultivate individual abilities. Professional development involves an investment in human capital (Ehrenberg & Smith, 2005). Ideally, organizations would like to hire highly skilled and professional people; but an organization's strategic goal, mission, and more importantly, the scarcity of human resources in the labor market serve as impediments (Ehrenberg & Smith, 2005). Certain skills are also unique to an organization and cannot be easily obtained in the external labor market. For example, military organizations have specific skill requirements that cannot be obtained in the civilian labor market. As a result, a military organization must invest in professional development of its personnel.

Organizations that focus on employee development can enhance their competitiveness and their ability to adapt to a changing environment. As such, employee development benefits both the organization and the employee (Mathis & Jackson, 2003). Although employee development encompasses more than training, many organizations focus mostly on training while ignoring other important aspects of employee development (Beam, 1980).

Employee development is not a new concept. What is changing over time, however, is how organizations develop their employees. In decades past, organizations identified employees with leadership and administrative skills and

groomed them for leadership positions. Successful employee development programs include not just education and training, but also mentoring and coaching. Today, an increasing number of organizations are searching for better employee development tools. An employee development tool growing in popularity among some of the world's largest organizations is the 360-degree feedback system (Tornow & London, 1998).

The 360-degree feedback system, also known as "multi-source or multi-rater" feedback, is a process whereby an individual receives feedback, usually from his supervisors, peers, subordinates, and in some cases, from internal and external customers (Bracken, Dalton, Jacko, McCauley, & Pollman, 1997). The 360-degree feedback system is an employee development tool and its implementation varies across organizations. Unlike a classic top-down evaluation system where supervisors provide feedback to employees, the term 360-degree implies that an employee receives feedback from many points of view.

The use of 360-degree feedback for developmental purposes has its roots in several traditions in industrial and organizational psychology (Tornow & London, 1998). The 360-degree feedback system was first introduced in the 1950s, but became popular among private sector companies in the United States (U.S.) in the early 1990s. Today, 360-degree feedback is widely accepted and used by one-third of U.S. companies and almost 90 percent of Fortune 500 companies (London & Smither, 1995).

Over the last decade, some military services have been looking at the 360-degree feedback system as a viable

personnel development tool. For example, the U.S. Army previously used the Leader Azimuth Check, a form of 360-degree assessment to collect input and provide 360-degree feedback to Army leaders.

From March 2004 to March 2006, the Army conducted a two-year pilot program of a 360-degree assessment tool known as the Army Leader Assessment and Feedback Program. From that pilot program emerged the Multi-Source Assessment and Feedback (MSAF). The Army recently implemented the MSAF, and it is now the single source of 360-degree assessment in the Army (Gasbarre, n.d., presentation slides). The Navy also used several leadership assessment tools in pilot programs; among them is the System Measures Assesses and Recommends Tailored Solutions (SMARTS-360) program (Bowman, 2009).

U.S. military services are not alone in using 360-degree feedback as a developmental tool. Over two years ago, the Royal Australian Navy implemented a 360-degree feedback-like system known as the Lifestyle Inventory 360 (LSI 360). The LSI 360 is part of the Royal Australian Navy's greater overhauling effort known as the New Generation Navy.

B. PURPOSE OF THIS THESIS

The purpose of this thesis is to examine how the U.S. Navy develops its personnel and look at the Royal Australian Navy's LSI 360 Program as a possible benchmark for implementing 360-degree feedback in the U.S. Navy. The thesis will also review the 360-degree pilot programs in the U.S. Army and Navy.

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C. RESEARCH OBJECTIVES OF THIS THESIS

The primary research objectives are as follows:

- To examine the Navy's personal and professional development system.

- To review the Royal Australian Navy's 360-degree program and determine its applicability to the U.S. Navy's environment.

- To develop recommendations about possible changes in the Navy's personal and professional development system.

D. METHODOLOGY AND SCOPE OF THIS THESIS

This study includes a literature review of 360-degree programs. The scope of this study also includes a review of the Navy's personal and professional development system, 360-degree feedback pilot programs in the U.S. Army and Navy, and implementation of 360-degree feedback in the Royal Australian Navy.

E. EXPECTED BENEFITS OF THIS THESIS

This thesis will attempt to identify areas for improvement in the Navy's personal and professional development program. The study will also provide valuable information to other Department of Defense (DoD) military services seeking to implement better performance development tools to improve their personal and professional development programs.

F. THESIS ORGANIZATION

This thesis is organized into six chapters. Chapter II provides background information on the Navy's personal and professional development program. Chapter III provides general information about the 360-degree feedback system

and the U.S. Army and Navy's 360-degree pilot programs. Chapter IV contains a literature review of employee development and 360-degree feedback. Chapter V provides information on 360-degree feedback implementation in the Royal Australian Navy. Chapter VI discusses conclusions, provides recommendations, and highlights areas for further study.

II. PERSONAL AND PROFESSIONAL DEVELOPMENT IN THE U.S. NAVY

A.   OVERVIEW

The Navy provides for the personal and professional development of its personnel. The Naval Education and Training Command (NETC) has overall responsibility for education and training of naval personnel. Under NETC are many subordinate commands with specific education or training missions. Among those subordinate commands is the Center for Personal and Professional Development (CPPD).

The CPPD is responsible for leadership training, personal and professional development of naval personnel. The Navy established CPPD in 2002 to direct the continuous personal development of sailors throughout their careers (Center for Personal and Professional Development, n.d.). In May 2008, CPPD merged with the Center for Naval Leadership (CNL), once a stand-alone subordinate command of NETC, to increase efficiency and serve as a focal point for all leadership, and personal and professional development training.

This chapter provides a synopsis of CPPD's mission, its programs, and a brief history of leadership training, and personal and professional development in the Navy. The chapter concludes with an overview of leadership training, and performance evaluation.

B.   THE CENTER FOR PERSONAL AND PROFESSIONAL DEVELOPMENT MISSION

The CPPD's mission "is to develop the Navy's workforce by providing education and training opportunities that build personal, professional, and leadership competencies in support of mission readiness." CPPD accomplishes its mission by providing personal development courses to officers and enlisted personnel, and professional development courses, such as leadership training, to officers, enlisted personnel, and in some instances, to spouses of senior officers and enlisted personnel. CPPD delivers Professional and personal development courses through an in-house/classroom format at established learning sites, mobile training teams (MTT), electronically via the Navy Knowledge Online (NKO) portal and other online sites, via CD-ROM format, and through individual, command-delivered training.

C.   THE CENTER FOR PERSONAL AND PROFESSIONAL DEVELOPMENT PROGRAMS

The CPPD divides the education and training of naval personnel into three categories: personal development, professional development, and voluntary education. Unlike self-education courses or voluntary education, personal and professional development courses are for the most part, mandatory for naval personnel.

1.   Personal Development

Personal development refers to an individual's continuous growth toward the realization of his full potential (Lopez, 1968). CPPD "provides training tools for the growth and development of sailors" under the personal

development program (Center for Personal and Professional Development, n.d.). The goal is to provide training and other resources that enhance sailors' personal development. By promoting personal development of sailors, the Navy hopes to "improve personal readiness, which in turn, helps optimize the Navy's readiness" (Center for Personal and Professional Development, n.d.). Personal development courses are non-rating specific and are designed with sailors' personal development in mind. A few of personal development courses provided by CPPD are described next.

a. _Command Drug and Alcohol Program Advisor (DAPA)_

The DAPA course is a five-day course designed to prepare individuals who will serve as a Command DAPA. The Command DAPA is responsible to a unit, ship, or installation's commanding officer (CO) for the effective "management and administration of the command's alcohol and other drug abuse prevention programs." The DAPA course is mandated by OPNAVINST 5350.4 series, and if the appointee has not previously completed the course within the last three years, he must attend the course within 90 days of assuming the position of Command DAPA, (Center for Personal and Professional Development, n.d.).

b. _Alcohol and Drug Abuse Managers/Supervisors (ADAMS) for Leaders, Supervisors, and Trainers_

The ADAMS for Leaders course is a "four-hour seminar that provides senior members in leadership positions the risk management tools necessary to evaluate command climate for abuse, provide prevention education,

and establish command policies to reduce alcohol and drug incidents." The ADAMS for Leaders course is designed for COs, Officers-in-Charge (OICs), Executive Officers (XOs), Department Heads, and Command Master Chiefs (CMCs). However, it is also open to "senior leaders in policy-making positions." Per OPNAVINST 5350.4 series, the ADAMS seminar is a once-a-career requirement (Center for Personal and Professional Development, n.d.).

Similar to the ADAMS for Leaders course, the ADAMS for Supervisors course is designed "for all E5 and above personnel in first-line supervisory positions and Department of the Navy (DON) civilians who supervise military personnel." The ADAMS for Supervisors course is a one-day course that "provides supervisors with the skills and knowledge required to be positive role models in the prevention of alcohol and drug abuse, document evidence of substandard performance or misconduct, refer individuals to their Command DAPA, and assist in fulfilling aftercare responsibilities." Relevant personnel are recommended to attend the ADAMS for Supervisors course every five years to stay abreast of the latest policies (Center for Personal and Professional Development, n.d.). The ADAMS for Supervisors facilitator training is a "three-day course that qualifies candidates to facilitate the ADAMS for Supervisors Course" (Center for Personal and Professional Development, n.d.).

c. *Personal Responsibility and Values Education and Training (PREVENT)*

PREVENT is a three-day personal development course for 18- to 25-year-old sailors. The course is

designed to "provide young sailors with the necessary strategies and skills needed to be mission ready, personally responsible, and contributing members of the Navy. The course provides pertinent information about DON policy and the consequences of risky behavior." It also provides training in decision-making, goal setting, and communication skills to assist the participant in creating conformity between his value system and current behavior. Unlike most courses, PREVENT makes the Navy Core Values and personal responsibility the cornerstones of the curriculum (Center for Personal and Professional Development, n.d.).

d. Command Management Equal Opportunity (CMEO) Program Manager

The CMEO course is a "five-day course that provides basic knowledge and skills training to senior enlisted and officers to help them perform better in their duties as a CMEO manager. Per OPNAVINST 5354.1F, CMEO managers are required to complete this course prior to assuming their duties as CMEO manager" (Center for Personal and Professional Development, n.d.).

e. Alcohol Aware

"Per OPNAVINST 5350.4 series, the Alcohol Aware course is mandatory for all naval personnel. Alcohol Aware is a four-hour, command-level, alcohol abuse prevention and de-glamorization course that details the risks involved in the use and abuse of alcohol. Participants anonymously evaluate their pattern of drinking to determine if it is appropriate and to make adjustments as needed. Attendance is required within two years of accession for officer and enlisted personnel and recommended as part of command

indoctrination programs or as refresher education" (Center for Personal and Professional Development, n.d.).

f.   Personal Financial Management

The Personal Financial Management course is a "two-day course that trains all new Recruit Training Command (RTC) graduates on the principles of sound financial management. The course is delivered before sailors attend "A" school, and provides sailors with the basic skills, tools and values needed to keep financially sound. Topics include understanding pay and allowances, building a budget, selecting a bank, reconciling a checking account, buying a car, and the understanding and proper use of credit" (Center for Personal and Professional Development, n.d.).

g.   Navy Military Training

The Navy Military Training course is a "two-day course that ensures the continued professional and personal development of junior enlisted sailors during the initial phase of their naval service. Generally provided between RTC graduation and "A" school, it covers such topics as decision-making, equal opportunity, diversity, discrimination, hazing, substance abuse, sexual responsibility, sexual harassment, sexual assault, suicide awareness and prevention, fraternization, planning and time management, stress management, and anger management" (Center for Personal and Professional Development, n.d.).

h.   Bearings

Bearings is a two-week, non-residential course designed to improve 'Zone A' attrition by

enhancing sailors' decision-making skills and increasing their awareness of the assistance available to them. The Bearings program builds trust, improves values, increases motivation, strengthens Navy pride, and stresses loyalty to the chain of command. Topics include a personal growth seminar, communication skills, and professional development. The course also provides skills for financial well-being, stress/anger management, conflict resolution, information about Navy benefits, positive alcohol alternatives, and drug abuse prevention. (Center for Personal and professional Development, n.d.)

2. Professional Development

Professional development refers to actions taken to improve an individual's knowledge and skills and to tap into and cultivate individual abilities (Lopez, 1968). Under the professional development program, CPPD provides Instructor/Facilitator courses, as well as leadership courses for officers, enlisted and spouses. A few of professional development courses provided by CPPD are described next.

a. *Journeyman Instructor Training*

The Journeyman Instructor Training is a "two-week course designed to train students in the application of principles of learning, instructional methods, strategies, and techniques appropriate to basic instructional and advanced technical classroom and other learning environments" (Center for Personal and professional Development, n.d.).

b. *Workspace Trainer*

The Workspace Trainer course "provides sailors with the skills to conduct effective On-the-Job Training

(OJT) such as General Military Training (GMT), Operational Risk Management (ORM), Safety, and other command-delivered training. The Workspace Trainer program is a command-sponsored program and uses the mentoring skills of highly qualified Navy instructors, master training specialists, and other experienced trainers to coach apprentice trainers" (Center for Personal and professional Development, n.d.).

c.   Command Training Team Indoctrination

The Command Training Team Indoctrination course is a "four-day course designed to train Command Training Team members, both enlisted and officers, to conduct the Navy Pride and Professionalism (NP&P)/Command Indoctrination workshop and other equal opportunity (EO) training as required by the CO" (Center for Personal and professional Development, n.d.).

d.   Major Command Course

The Major Command Course is a "one-week course recommended for Navy Captains (O-6) en route to a major command tour. The course is designed to reinforce the fundamental tenets of naval leadership and provide an improved decision-making foundation for leading complex organizations and guiding subordinate commands" (Center for Personal and professional Development, n.d.).

e.   Command Leadership Course

The Command Leadership Course is a "two-week leadership course required for all O-4 to O-6 prospective COs en route to their first command tour. The course is

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designed to reinforce the fundamental tenets of naval leadership and provide an improved decision-making foundation for officers assuming the responsibilities of command" (Center for Personal and professional Development, n.d.).

f. Executive Officer Leadership Course

The Executive Officer Leadership Course is a "two-week course required for prospective XOs en route to their first XO tour. The course is designed to reinforce the fundamental tenets of naval leadership and provide an improved decision-making foundation for officers assuming the responsibilities of second-in-command" (Center for Personal and professional Development, n.d.).

g. Division Officer Leadership Course

The Division Officer Leadership Course is a "one-week course that provides junior officers (O1-O3) with the requisite leadership skills necessary to function as effective leaders at the Division Officer level. The course's content is derived from the Navy Leadership Competency Model (NLCM), which includes leading change, resource stewardship, accomplishing missions, leading people and working with people" (Center for Personal and professional Development, n.d.).

h. Department Head Leadership Course Parts I and II (Reserve Component)

The Department Head Leadership Course Parts I and II is a "one-week course that provides reserve officers in grades O3 and O4 with the requisite naval leadership skills necessary to function effectively as department heads. The

course's content is derived from the NLCM, which includes leading change, resource stewardship, accomplishing mission, leading people and working with people" (Center for Personal and professional Development, n.d.).

i. Command Master Chief/Chief of the Boat

The Command Master Chief/Chief of the Boat course is a "two-week course that provides a capstone-learning experience for senior enlisted personnel en route to initial assignment with primary duty as Command Master Chief or Chief of the Boat" (Center for Personal and professional Development, n.d.).

j. Petty Officer Selectees Leadership Course and Chief Selectee Training (CST)

The Petty Officer Selectee Leadership Courses and the Chief Selectee Training are leadership development courses provided at the individual command level to Petty Officer Third Class (PO3), Petty Officer Second Class (PO2), Petty Officer First Class (PO1), and Chief Petty Officer (CPO) selectees. In the past, as part of the Navy Leadership Training Continuum (LTC), sailors were required to complete leadership training to take the E6 and E7 examinations and to be eligible for the E8 selection board. In 2006, the Navy introduced the Petty Officer Selectee Leadership Course (POSLC) to replace the LTC, and in 2007, the CPO Selectee Course. Finally, in 2008, the Navy did the same for PO2 and PO1 selectees (NAVADMIN 272/08).

3. Voluntary Education Program

The Navy's Voluntary Education (VOLED) program provides educational opportunities "to sailors and their

family members supporting their lifelong goals and the Navy's mission" (Center for Personal and professional Development, n.d.). Under VOLED, eligible service members and their families can take college or academic skills courses. Sailors can take courses through correspondence, online colleges, local college centers or campuses or through the Navy's College Program for Afloat College Education (NCPACE). Some of those courses are offered free of charge. Eligible personnel can use the Navy's Tuition Assistance (TA) program, the Montgomery GI Bill (MGIB), or a combination of TA and MGIB.

D.   HISTORY OF PERSONAL AND PROFESSIONAL DEVELOPMENT IN THE NAVY

The Navy has made great strides at improving personal and professional development of naval personnel. In the late 1960s, the Navy concluded that leadership and management skills were lacking at the middle management level. In the early 1970s, under the leadership of Admiral Elmo R. Zumwalt, then chief of Naval Operations, the Navy established leadership training curricula for officers and enlisted personnel.

Since the establishment of formal personal and professional development training, the Navy continues to find ways to improve training curricula and delivery methods. Today, the Navy uses different training methods to include lecture, case study, role-playing, group discussion, individual homework, individual in-class presentations, and real-life, simulated exercises. Besides

training methods, the Navy also makes use of technology (e.g., e-learning and NKO websites) to deliver training to naval personnel.

E.   NAVY LEADERSHIP COMPETENCY

Leadership competencies are of great importance to the Navy. To achieve its mission, the Navy needs highly competent leaders. The Navy also understands that as officers move up in position, they will require increasingly higher knowledge and skill levels. The Navy establishes the NLCM to "define expected behaviors and knowledge, to ensure Leaders are effective in their positions" (Center for Personal and professional Development, n.d.). The NLCM applies to every officer and enlisted level and position of leadership in the Navy, and is based on five core competencies: accomplishing mission, leading people, leading change, working with people, and resource stewardship. Figure 1 lists and defines the Navy's five core leadership competencies and sub-competencies.

Figure 1.   Navy Leadership Competency Model

Competency I Accomplishing Mission: stresses accountability and continuous improvement. It includes the ability to make timely and effective decisions, and produce results through strategic planning and the implementation and evaluation of programs and policies Sub-competencies • Responsibility, Accountability, and Authority • Decisiveness/Risk Management • Continuous Improvement • Problem Solving • Technical Credibility
Competency II Leading People: the ability to design and implement strategies that maximize personnel potential and foster high ethical standards in meeting the Navy's vision, mission and goals. Sub-competencies • Developing People • Team Building • Combat/Crisis Leadership • Conflict Management • Leveraging Diversity • Professionalism
Competency III Leading Change: encompasses the ability to develop and implement an organizational vision that integrates key naval national and program goals, priorities, values, and other factors. Inherent to it is the ability to balance change and continuity – to create a work environment that encourages creative thinking and innovation. Sub-competencies • Creativity & Innovation • Vision • Strategic Thinking • External Awareness • Flexibility

• Service Motivation
Competency IV Working with People: Involves the ability to explain, advocate, and express facts and ideas in a convincing manner, and negotiate with individuals and groups internally and externally. Sub-competencies • Influencing & Negotiating • Partnering • Political Awareness • Oral Communication • Written Communication
Competency V Resource Stewardship: Involves the ability to acquire and administer human, financial, material, and information resources in a manner that instills public trust and accomplishes the Navy's mission; and to use new technology to enhance decision-making. Sub-competencies • Financial Management • Leveraging Technology • Human Resource Management

Source: Official Website of Center for Personal and Professional Development

The Navy invests a lot of resources in terms of time, money, and other opportunity costs, to provide leadership training to naval personnel. The Navy needs to ensure that training expectations are met. By introducing the NLCM, the Navy hopes to:

- Clarify workforce standards and expectations
- Align individuals with the organization's business strategy
- Create empowerment, accountability, and improve performance
- Provide a clear map of individual personal and professional development
- Develop equitable, focused appraisal decisions
- Increase the effectiveness of Navy training and professional development programs by linking them to success criteria
- Instill behavioral standards of excellence (NKO, 2012)

F.   MENTORING AND COACHING IN THE NAVY

Connor and Pokora (2007) define mentoring and coaching as "learning relationships that help people to take charge of their own development, to release their potential and to achieve results which they value." In other words, a mentor is a person who helps another person learn and grow personally and professionally. Managers and supervisors usually serve as mentors to their employees. Oftentimes, however, managers and supervisors are too busy worrying about the work at hand and leave employees to fend for themselves. Today, organizations are increasingly hiring professionals to coach and mentor their employees (Connor & Pokora, 2007).

Like most organizations, the Navy, too, has a mentoring program. The Navy defines mentoring as "a guidance relationship between two people, where a trusted person (mentor) helps another person (protégé) learn something the latter would otherwise have learned less proficiently, more slowly, or not at all" (NAVPERSCOMINST 5300.1). By mentoring sailors, the Navy hopes to better develop them, retain talented personnel, and enhance their career development, which can lead to greater readiness of the Navy's total force.

G.   MEASURING PERSONAL AND PROFESSIONAL DEVELOPMENT

Evaluation is an integral part of any program. The main purpose of a program evaluation is to establish whether or not the program produces the intended effects (Rossi & Freeman, 1989). Through program evaluation, an organization can make necessary program improvements. Sometimes, an organization with a costly program may need to justify continuing funding. Today, program justification is vital to almost every military program.

The Navy's personal and professional development program can be measured in terms of effect and effectiveness. For example, sailors who benefit from the Navy's personal development program may view the Navy's investment in their personal development as a sign that the Navy values them and that can lead to higher retention. The benefits of higher retention include savings in recruiting and training costs. In the case of professional development, benefits may come in the form of effective leadership and management, better advancement and promotion, and higher overall readiness level. Although the

Navy invests in and values all aspects of personal and professional development, it puts a premium on leadership development.

For the most part, the only way the Navy measures job performance is through the Fitness Report (FITREP) and Counseling Record, for officers; Evaluation and Counseling Record (EVAL) for enlisted personnel in grades E1-E6; and Enlisted and Counseling Record, also known as CHIEFEVAL, for senior enlisted personnel in grades E7-E9. FITREPs, CHIEFEVALs, and EVALs are all top-down performance evaluation and feedback systems. See Appendix A for the FITREP form for flag officers, Appendix B for the FITREP form for officers in grades W2-O6, Appendix C for the CHIEFEVAL form, and Appendix D for the EVAL form.

Reporting seniors are responsible to submit regular reports on their assigned personnel periodically. Per BUPERSINST 1610.10 series, performance counseling must be provided at the mid-point of the periodic report cycle, and when the report is signed. The Navy leaves it up to each CO or OIC to decide how to conduct performance counseling. The personnel conducting the performance counseling are usually the member's supervisor and provide input for the member's FITREP, CHIEFEVAL, or EVAL. Although supervisors conduct the performance counseling, COs and OICs are ultimately responsible for the proper administration of the counseling program in their command. The objectives of the performance counseling system are to provide feedback to the member and to motivate and assist improvement (BUPERSINST 1610.10C, 2011).

H.   SUMMARY

Some people would be surprised to learn that personal and professional development in the Navy is relatively new. It was not until the 1970s that the Navy began to take steps to improve personal and professional development of naval personnel. The Navy went from a fragmented program under many different commands to a consolidated personal and professional development program under one command: the Center for Personal and Professional Development. The Navy's personal and professional development program targets not only active duty and reserve personnel, but their spouses as well.

Effective leadership is of great importance to the Navy. The Navy recently developed the Navy Leadership Competency Model to define expected behaviors and knowledge, and to ensure personnel in leadership positions are well prepared and capable of carrying out their duties. The Navy uses mid-term counseling, FITREPs, CHIEFEVALs, and EVALs to measure performance, to provide feedback, and assist naval personnel in becoming successful workers and leaders.

III.   360-DEGREE FEEDBACK

A.   INTRODUCTION

The 360-degree feedback system, also known as "multi-source or multi-rater" feedback, is a process whereby an employee receives feedback from his superiors, peers, subordinates, and in some cases, from internal and external customers (Bracken et al., 1997). The 360-degree feedback system is an employee development tool, and its implementation varies from organization to organization. Unlike a classic top-down evaluation system where supervisors provide feedback to employees, the term 360-degree implies that employees receive feedback from many points of view.

This chapter provides a brief history of 360-degree feedback, its application, its dimensions, as well as processes for successful implementation. The rest of the chapter provides background information on 360-degree pilot programs in the U.S. Army and Navy.

B.   HISTORY OF 360-DEGREE FEEDBACK

The use of 360-degree for developmental purposes has its roots in several traditions in industrial and organizational psychology (Tornow & London, 1998). The 360-degree feedback system was first introduced in the 1950s, but became popular among private sector companies in the U.S. in the early 1990s. Today, 360-degree feedback is widely accepted and used by approximately one-third of U.S. companies and almost 90 percent of Fortune 500 companies (London & Smither, 1995).

The need for 360-degree feedback arose from organizations' needs to keep up with a constantly changing business environment. Also, the move from rigid hierarchical managerial structures to more flat, decentralized, or matrix organizational structures that use groups and teams across many departments to perform specific tasks, make it more difficult for one manager to accurately measure employees' performance. Jobs are getting more and more complex and organizations are too busy making acquisitions and restructuring to take sole responsibility for developing employees. With so many activities taking place in today's business environment, organizations place some of the responsibility on employees' shoulders. Organizations want to establish developmental programs, provide the needed resources, and let employees take the responsibility to acquire knowledge and skill sets that will add value to the organization (Tornow & London, 1998).

C. WHY 360-DEGREE FEEDBACK?

360-degree feedback allows superiors, peers, subordinates, and customers to provide feedback on how they view an individual. The goal is for the individual to compare his view of his own strengths and weaknesses against that of his superiors, peers, subordinates, and customers. Dalton (1998) provides five rationales for using 360-degree feedback: 1) 360-degree feedback allows organizations to address the needs of strategically important populations; 2) it allows employees to take charge of their own careers; 3) it brings everyone up to specific set of standards; 4) it serves as a tool to change

organizational culture; and 5) it changes the norms of traditional feedback methods. Dalton's rationales from his 1998 work are described next.

1. Addressing the Needs of Strategically Important Populations

The common wisdom in today's organization is that employees are responsible for their own careers and development. For the most part, that assumption is true; however, some organizations still maintain traditional paths of succession. Organizations continue to identify employees with high potential and groom them for leadership and managerial positions within the organization. The 360-degree feedback can accumulate information on areas where the individual needs improvement. In most cases, organizations make coaches available to assist in the employee development process. By promoting from within, an organization can ensure continuity and employee loyalty.

2. Taking Charge of One's Own Career

In today's business environment, individuals are ultimately responsible for their own careers. Individuals must constantly develop new skills, maintain old skills and knowledge, and upgrade a portfolio of competencies to remain attractive to an organization, and most importantly, to remain employable (Dalton, 1998). Nevertheless, most organizations make resources available and nurture an environment where individuals who are serious about self-development can flourish. Organizations that establish 360-degree programs for their employees may tie the use of the program to some type of incentive, but participation is usually voluntary (Dalton, 1998).

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3. Bringing Everyone Up to Standard

Some organizations establish basic supervisory or managerial skill programs for employees who attain certain positions within the organization (Dalton, 1998). These programs provide supervisors and managers the skills necessary to be effective and efficient at their job. Often, 360-degree feedback is used to measure how well managers and supervisors retain the skill set the program was designed to transmit to them. The 360 feedback can also be imbedded in the organization's performance appraisal process (Dalton, 1998). Using 360-degree feedback for appraisal has many critics and supporters. Chapter IV provides more information on the implications of using 360-degree feedback for performance appraisal.

4. Bringing About Cultural Change

It is fairly easy for a firm to introduce a new product line (as long as proper market research favors the change), or for an organization to change its work hours (provided the organization involves stakeholders in the process). Changing an organization's culture, however, is more difficult. Some organizations use 360-degree feedback to bring about cultural change. Dalton (1998) provides an example of how 360 degree feedback can affect cultural change:

> …a major manufacturing organization had been successful for years as the sole provider of a particular product. Successful employees were highly technical individual contributors who eschewed what they called the soft stuff as silly and trivial. When they were finally faced with the competition in the marketplace, this organization started to lose business to

competitors who had the interpersonal skills and consulting skills to listen to their customers and differentiate their products in the marketplace. A 360-degree feedback survey that encompassed the skills deemed necessary to respond to the competitive pressures was introduced with great fanfare, and an entire level of management received feedback on the tool-but nothing happened. On a day-to-day basis, individuals continued to evidence the skills of the highly technical engineer and eschew the skills of the interpersonally adept, customer-oriented consultant.

The second year, the HRD professional determined that no culture change had occurred because there was no developmental planning following the 360 event. The intervention was offered again, and all of the participants were required to complete an individual development plan and to share the plan with their bosses. Again, there was no real behavioral change in the majority of the employees.

The third year, the intervention was repeated, and the managers were provided with coaches to help them achieve their individual goals. It was during the evaluation of the third-year process that the "aha" experience occurred. One of the program designers recognized that the behaviors being measured and written about in the individual development plans were not required by the work itself and were not rewarded by the organization. After extensive consultation with senior management, a smaller group of senior managers was provided with the opportunity to receive 360-degree feedback on the requisite skills, but this time the development planning was done in the context of the work itself. Individuals were required to integrate their personal development goals into a critical work task that could not be accomplished without the cooperation of the whole group and the recognition of the needs of the customer. The president personally assigned the project, and the entire team was provided with access to a

coach when the process issues started to overwhelm the desired group outcomes. The 360 process was integrated with a business-driven plan that reflected the new direction the organization needed to take. The culture change started to take hold. (pp. 73-74)

5. **Eliminating the Barriers for Giving and Receiving Feedback**

Receiving or providing feedback can be an arduous task. Most people fail to distinguish feedback from criticism. Quite often, peers and subordinates would like to provide constructive feedbacks to each other; but the fear of possible conflict gets in the way. For subordinates, they may fear reprisal from their supervisors. A 360-degree feedback system that uses anonymous feedback can remove that barrier.

Tornow and London (1998) assert that the 360-degree feedback as the core of self-development can strengthen relationships between supervisors, peers, subordinates, customers and suppliers. Through 360-degree feedback, organizations can define expectations. People who receive constructive feedback from others can identify areas that need improvement and address those areas in a way that "can serve as powerful motivation for change, growth, and development" (Tornow & London, 1998, p. 4).

360-degree feedback does not necessarily always identify weaknesses in an individual; it can also serve as an instrument to validate one's own view of strengths that should be maintained and leveraged (Tornow & London, 1998). For example, in the course of receiving feedback a person may receive high marks from supervisors, peers, subordinates, or customers for being a great leader –

someone who mentors peers and subordinates, supports the command's mission, defines expectations from subordinates, and someone who is approachable and whose advice peers and subordinates can trust. In that case, the individual may feel validated and that can motivate him or her to improve other areas his evaluators suggest need improvement.

D. PROCESSES OF 360-DEGREE FEEDBACK

360-degree feedback gathers input from superiors, peers, and subordinates and provides a snapshot of how these evaluators view an individual. The individual also completes a self-assessment and compares his or her self-assessment with that of his superiors, peers, and subordinates. Today, organizations usually gather 360-degree feedback using online surveys. Some organizations dedicate specific databases or websites to administer the 360-degree feedback program. 360-degree feedback programs differ across organizations. The performance dimensions measured by 360-degree feedback depend on the needs and mission of the organization. For example, a service firm may focus more on customer service or communications competencies; a manufacturing firm may focus on technical knowledge and managerial or administrative acumen; a military organization may put heavy emphasis on leadership development.

1. Sources of 360-degree Feedback Input

Most people agree that 360-degree feedback programs receive input from supervisors, peers, and subordinates. However, some researchers believe organizations should seek input from internal and external customers as well. For

example, London and Beatty (1993) find the definition of 360-degree feedback that only includes input from superiors, peers, and subordinates to be weak and restrictive. They argue that customers' input should be part of the process.

Paradise (1998) asserts that the decision to include internal and external customers in the process depends on the nature of the job and the importance of the customer-supplier relationship to the organization. For example, customers' feedback may be valuable in jobs where employees have continuous and close contact with customers or suppliers. Input from some internal and external customers can enhance the 360-degree feedback process. However, the absence of customers or suppliers' input does not necessarily invalidate the aim of the 360-degree process. Organizations may still derive benefits from its implementation.

2. Acting on 360-Degree Input

It is not enough to simply receive feedback from one's superiors, peers, subordinates, and customers. The individual receiving the feedback must act on it. Several factors may affect whether or not an individual acts on a 360-degree feedback. These factors include: 1) acceptance of the feedback's accuracy; 2) belief that the feedback is in the individual's best interest; and 3) belief that that the feedback is worth a long-term commitment from the individual (Sternbergh, 1998). Without proper actions, a 360-degree feedback is a waste of valuable resources.

An effective 360-degree program will ensure resources are available and individuals act on feedback received. It

will also include mechanisms for follow-up actions. Change does not happen overtime; long-term commitment is required if true change is to take place. While some organizations may leave it up to each individual to act on 360-degree feedback, others provide coaches and mentors to help in the employee development process.

E.   IMPLEMENTING 360-DEGREE FEEDBACK

As with any program, proper implementation of a 360-degree feedback program is highly important. People are naturally resistant to change; even more so, when they believe that the proposed change can be detrimental to their career. Ford, Ford and D'Amelio (2008) point out that sometimes change agents contribute to resistance in an organization by failing to clearly and effectively communicate the proposed change, by misrepresenting the facts, by failing to legitimize the change, and by failing to call people to action.

Sometimes false perception or miscommunication can torpedo a good change. The 360-degree feedback has not escaped these impediments to successful change. For example, the main perception of the 360-degree feedback system is that organizations will allow subordinates to grade their superiors' performance. The 360-degree feedback system has been trumpeted by some (e.g., Army Times online Article of 9 October 2011) as a tool for organizations to weed out so called "toxic leaders." This lack of understanding is detrimental to any organization seeking to implement a 360-degree feedback program.

F. 360-DEGREE PROGRAMS IN THE U.S. ARMY

The earliest recorded form of personnel evaluation can be traced back to the Army. It was submitted in 1813 to the War Department by U.S. Army General Lewis Cass, then the Commanding Officer of the 27th Infantry Regiment, U.S. Army (Lopez, 1968). Today, the Army continues to find ways to better develop and evaluate its officers. According the Army's Leader Development Strategy for the 21st Century guidance, the Army needs leaders who are creative, agile, and adaptable; leaders who can navigate the complex challenges of the 21st century and beyond. The Army initiated several pilot programs based on the 360-degree concept. Among those pilot programs are the Leader Azimuth Check and the 360-degree Army Leader Assessment and Feedback Program.

1. The Leader Azimuth Check

The Army developed the Leader Azimuth Check in the mid-1990s to gather and organize 360-degree feedback for thousands of Army leaders on doctrine-based competencies (Steele & Garven, 2009). The idea behind the Leader Azimuth Check was to provide Army leaders a snapshot of how their supervisors, peers, and subordinates perceive them and to see if their leadership characteristics parallel that of what is expected of Army leaders.

The Leader Azimuth Check originated from the Strategic Leader Development Inventory (SLDI), a leader development tool developed by The Army Research Institute, in collaboration with the Army War College and the Industrial College of the Armed Forces. The SLDI was designed to

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provide feedback to students at the Army War College and the Industrial College of the Armed Forces (Steele & Garven, 2009). The SLDI survey measures three types of factors: 1) conceptual skills and attributes; 2) positive attributes; and 3) negative attributes.

Figure 2 lists the SLDI attributes, factors, and input sources for each factor. Factors are competencies supervisors, peers, or subordinates are asked to assess. Not all factors are assessed by supervisors, peers, and subordinates. For example, only the individual being assessed, his superiors and peers are asked to assess the "Conceptual Flexibility" factor. Conversely, only subordinates are asked to assess the individual's "Complex Understanding" factor. Appendix E provides a detailed list of sub-competencies assessed under each SLDI factor.

Figure 2.   Strategic Leader Development Inventory Factors
and Input Sources

CONCEPTUAL SKILLS AND ATTRIBUTES	
Factors	**Sources**
Conceptual Flexibility	Superiors, Peers, Self
Political Sensibility	Superiors, Peers, Self
Long Term Perspective	Superiors
Quick Study/Perspective	Peers
Complex Understanding	Subordinates

POSITIVE ATTRIBUTES	
Factors	**Sources**
Empowering Subordinates	All
Strong Work Ethic	Superiors, Self
Personal Objectivity	Subordinates, Self
Professional Maturity	Superiors
Team Performance Facilitation	Peers

NEGATIVE ATTRIBUTES	
Factors	**Sources**
Technical Incompetence	All
Explosive, Abusive	All
Arrogant/Self-serving/Unethical	All
Rigid/Micromanagers	Superiors, Peers, Self
Inaccessible	Subordinates

Source: A Guide to the Strategic Leader Development Inventory
Handbook

According to Steele and Garven (2009), a student from the Industrial College of the Armed Forces who participated in the SLDI sought assistance from the Army Research Institute in implementing what would become known as the Leader Azimuth Check. The Leader Azimuth Check adopted approximately 50 items from the SLDI. Another 46 items were introduced to better capture the leadership experience of Army Captains with four-to-six years of experience. However, the first attempt was unsuccessful. Analysis of the Leader Azimuth Check data revealed "the lack of consistent understanding of leadership among the relatively inexperienced population" (Steele & Garven, 2009, p. 3). The Leader Azimuth Check was then revised and retested in the spring of 1997.

The Leader Azimuth Check was designed to target Army Captains at the Combined Arms Staff and Services School, but a version (2.0) of it was adopted and administered to Army personnel in different units, ranks, positions, and organizations (Steele & Garven, 2009). After many evaluations, the Leader Azimuth Check was found to correctly capture participants' leadership traits and attributes. Karrasch and Halpin (1999) analyzed follow-up survey data of the Leader Azimuth Check for commissioned officers, non-commissioned officers, and civilian leaders at Fort Clayton, Panama, and found that the majority of participants viewed the 360-degree feedback as a valuable source of feedback.

Steele and Garven (2009) also set out to investigate key factors that have been previously neglected, such as the program's factor structure of common competencies,

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minimum rater required for adequate reliability, its conceptual agreement across rating sources, and its rating pattern and behavior. In the end, their analysis revealed that the 360-degree feedback may be more reliable than previously thought. However, the Army has since abandoned the Leader Azimuth Check program in favor of the Army's 360-degree Multi-Source Assessment Feedback (derived from the Army Leader Assessment and Feedback Program).

2. The Army Leader Assessment and Feedback Program (ALAFP)

The Army launched the ALAFP in February 2004. The two-year pilot program was conducted at Army Combat Training Center from March 2004 to March 2006. In all, 14 unit rotations at Combat Training Centers and 23,169 participants provided 360-degree assessment feedback to 2,034 leaders (A. Gasbarre, e-mail, March 7, 2012). The pilot program's results indicated that 97 percent of the leaders who participated in the program thought the time spent on the 360-degree assessments, feedback, and coaching was well spent. In addition, 98 percent of participants indicated willingness to make changes to their leadership behaviors based on the 360-degree feedback they received, and more than 80 percent of participants rated items in the assessment as short, clear, and relevant (A. Gasbarre, e-mail, March 7, 2012). The following are sample testimonials from the ALAFP pilot program:

> Battalion Commander: As for the 360 degree survey, I must admit that at first I was skeptical. It was yet another tasking on an already overfull plate. However, it was fantastic. I cannot recommend it highly enough; my only regret is that we were not able to survey

more leaders within the battalion and the brigade. I found the survey extremely useful for me personally and also an extremely useful tool for my leadership.

Anonymous: Specifically, the opportunity to receive candid and blind feedback from peers, superiors and subordinates is of tremendous value.

Anonymous: I believe it is so important and so useful a tool that it would warrant being placed on a long-range training calendar and targeted as a key training event for the year.

Battalion Commander: MSAF is the most powerful leader development tool I've used in 19 years in the Army. Integrated with a developmental counseling program and a command climate that emphasizes learning, MSAF provides constructive, specific practical feedback to leaders.

Company Commander: Input is invaluable.

First Sergeant: Nobody ever tells you if you're screwed up. They just talk behind your back or assign the mission to someone else. With the 360-assessment, you get the truth. This ain't just another survey; it's essential.

Platoon Sergeant: First time subordinates ever assessed my leadership. Showed me I didn't care enough about families. Platoon leader counseling has been a joke up to this point in my career. Without 360-assessment, you'd never really know how Soldiers felt about you.

Army Civilian: I think this is an excellent program and I will be recommending it to others as a means of self-development.

MSAF Coach: The SFC that I coached couldn't thank me enough – he kept going on how helpful it was and how it was just what he needed and that he was going to pass on to his peers and

subordinates to do the MSAF (Official Website of the Army's Multi-Source Assessment and Feedback 360, n.d.).

3.   The Multi-Source Assessment Feedback (MSAF)

The MSAF 360-degree program is derived from the ALAFP. It was adapted on 12 June 2007 and became a single source of 360-degree leadership assessment in the Army (Gasbarre, n.d., PowerPoint slides). The MSAF is designed to provide 360-degree feedback to Army leaders to help advance individual leader's self-development. The MSAF solicits information from supervisors, peers, and subordinates and relays the feedback directly to the individual being assessed. The results of the assessment are anonymous. Aggregate results from each category (superiors, peers, and subordinates) are provided, but individual results are kept confidential — that prevents any individual from attributing feedback to a specific person [CAL press release, 2008]. By maintaining confidentiality, the Army hopes to ensure individuals are protected and thus feel secured to provide honest feedback and consistent assessments.

The main purpose of the MSAF is to develop better leaders for the Army. The Army believes MSAF enhances individual development, improves leaders' self-awareness, growth, and overall performance. MSAF exposes weaknesses leaders did not know they had and encourages life-long learning and development. In support of the MSAF, the Army Chief of Staff, General Ray Odierno, states:

> I believe that multi-dimensional feedback is an important component to holistic leader development. By encouraging input from peers, subordinates and superiors alike, leaders can

better "see themselves" and increase self-awareness. A 360-degree approach applies equally to junior leaders at the squad, platoon, and company level as well as to senior leaders. The ability to receive honest and candid feedback, in an anonymous manner, is a great opportunity to facilitate positive leadership growth (*Multi-Source Assessment and Feedback, n.d.).*

The MSAF program applies to all domains of education and training (self-development, institutional, operational), for all cohorts (officers, warrant officers, non-commissioned officers, and Department of the Army civilians), and all components (active duty and reserve personnel). Active duty personnel are required to complete the MSAF at least once every three years. Reserve personnel are required to complete the MSAF at least once every six years. However, individuals can initiate an MSAF survey anytime they want, for their own self-development [CAL press release, 2008]. Officers are also required to indicate on their Officer Evaluation Report (OER), whether or not they have completed or initiated an MSF within the last three years. Results of the MSAF are not used as part of the OER. The intent is not to punish those who had not completed or initiated an MSAF, but rather to raise visibility of the program (Army MILPER Message 11-282).

The MSAF contains three development domains (self-development, institutional, and operational development) and focuses on eight leadership competencies found in the Army's Leadership Field Manual. MSAF surveys are conducted electronically via the Army's MSAF website. Leaders assign supervisors, peers, and subordinates and request that they complete a 360 assessment on their behalf. The program recommends that at least three superiors, five peers, and

five subordinates are assigned as assessors. The person being assessed also completes a self-assessment. Figure 3 lists the Army's eight core leader competencies and each competency's supporting behavior.

Figure 3.   U.S. Army's Eight Core Leader Competencies and supporting Behaviors

LEADS
I. Lead Others
• Provide purpose, motivation, inspiration
• Enforce standards
• Balance mission and welfare of soldiers
II. Extends Influence Beyond Chain of Command
• Build trust outside lines of authority
• Understand sphere, means, and limits of influence
• Negotiate, build consensus, resolve conflict
III. Leads by Example
• Display character
• Lead with confidence in adverse conditions
• Demonstrate competence
IV. Communicates
• Listen actively
• State goals for action
• Ensure shared understanding
DEVELOPS
V. Creates a Positive Environment
• Set the conditions for positive climate
• Build teamwork and cohesion

• Encourage initiative
• Demonstrate care for people
VI. Prepares Self
• Be prepared for expected and unexpected challenges
• Expand knowledge
• Maintain self-awareness
VII. Develops Leaders
• Assess developmental needs, develop on the job
• Support professional and personal growth
• Help people learn
• Counsel, coach, and mentor
• Build team skills and processes
ACHIEVES
VII. Gets Results
• Provide direction, guidance, and priorities
• Develop and execute plans
• Accomplish tasks consistently

Source: Army Leadership Field Manual (FM 22-100)

Once all of the feedbacks are received, the system generates an Individual Feedback Report (IFR). The individual can then compare his self-assessment with an aggregate assessment of his superiors, peers, and subordinates. Unit commanders may also receive an overall reporter trend analysis (not individual results) that identifies weaknesses and strengths of leaders within his

or her command. That report allows unit commanders to

engage and promote organizational leader development and unit training.

The Combined Armed Center – Center for Army Leadership is the lead command responsible for the execution and administration of the MSAF program. For leaders who participate in the MSAF, the Army provides coaches to assist them in interpreting the results, and to guide them in generating an Individual Development Plan (IDP). Individual participants can sign-up for coaching assistance via the MSAF website. Coaching sessions can take place virtually (online, telephone) or face-to-face, with modification table of organization and equipment (MTOE) leaders having priority access to the pool of available coaches (ALARACT Message 124/2008). According to the MSAF website, the program also contains a virtual improvement center that allows individuals to complete training in specific leadership competency. So far, the Army has received positive feedback from the troops.

## G.   360-DEGREE FEEDBACK PROGRAMS IN THE U.S. NAVY

1.   Introduction

The Navy puts a premium on leadership development and continues to seek effective leadership development tools. Like the Army, the Navy, too, conducted several programs using the 360-degree feedback concept. These 360-degree feedback programs focus on personal and professional development that centers around the Navy's core values of Honor, Courage, and Commitment (Official Website of the United States Navy, n.d.).

Some of these programs are conducted as a part of different courses under Navy Executive Development Program (NEDP). The target mass of NEDP is Navy Senior Leaders, ranging from Flag officers to high potential commanders, and SESs to GS-15s. Two of the programs seen in Figure 4 below are described in this thesis because they employ 360-degree feedback as a personnel development tool, and those two programs are: 1) New Flag and Senior Executives Training Symposium (NFLEX), and 2) Navy Senior Leadership Seminar (NSLS) or formerly known as Navy Corporate Business Course (NCBC).

NEDP is not the only program that helps Navy personnel develop themselves. Command Leadership School (CLS) under Naval Education and Training Command (NETC) also provides other development programs to newly selected Commanding Officers (COs), Executive Officers (XOs), Major Commanders (MCs), Command Master Chiefs (CMCs), Chiefs of the Boat (COBs), Command Senior Chiefs (CSCs), and their spouses. Among those people COs, XOs, and MCs are also given 360-degree feedback assessments during executive coaching sessions (Official Website of Command Leadership School, n.d.).

Figure 4.   The Navy Executive Development Plan Continuum
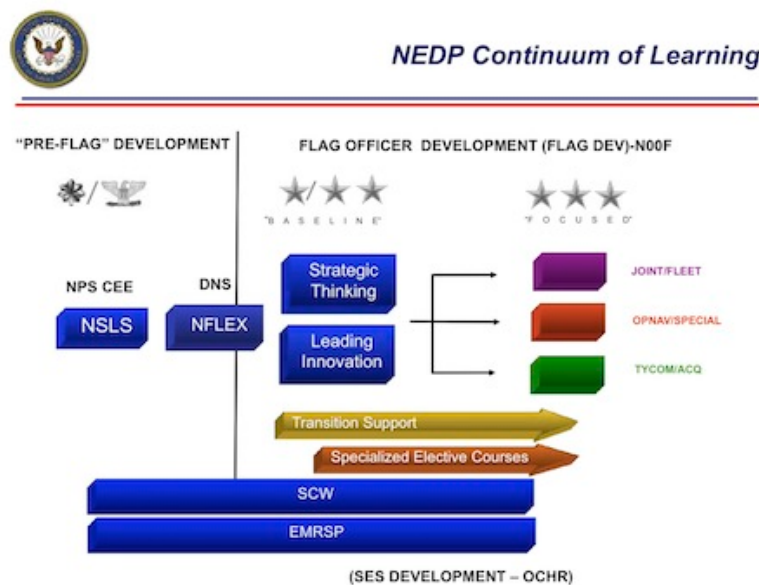
Source: Official   Website   of   the   Navy   Executive   Development
Program

2.   History

In   2002,   the   Navy's   Center   for   Personal   and
Professional Development (CPPD) contracted with the Center
for   Creative   Leadership   (CCL)   and   a   private   company,
Personnel   Development   International   (PDI),   to   develop   a
360-degree feedback product for the Navy. CCL had used a
360-degree product called BENCHMARK, designed for civilian
personnel in senior leadership positions, and adapted it
for use by three-and-four-star Navy Admirals during a five-
day training program called Leadership at the Peak (Bowman,
2009). PDI had used a 360-degree product called PROFILER,
designed   for   senior   civilian   managers,   and   almost
simultaneously adapted it for use by Navy Captains and
Senior Executive Service (SES) personnel during a five-day

training program called the Senior Level Transitions Program (Bowman, 2009).

Approximately two years later, PDI corroborated with the Office of Executive Learning (OEL) to develop a Navy-specific 360-degree version of PROFILER to provide 360-degree feedback to flag officers and senior SES personnel. The new program would be known as the New Flag and Senior Executiv Training Symposiums(NFLEX). Following the successful launch of NFLEX, OEL corroborated with PDI and initiated a similar system to provide 360-degree feedback to Navy Captains and senior Commanders attending a program called the Navy Corporate Business Course (NCBC) at the Naval Postgraduate School (Bowman, 2009). However, the name of the program changed recently and now it is known as Navy Senior Leadership Seminar (NSLS). In the past NCBC was held both in the Darden School, University of Virginia, and the Center for Executive Education (CEE), at the Naval Postgraduate School in Monterey, California; however currently it takes place only at CEE in NPS.

3. New Flag and Senior Executive Training Symposium (NFLEX)

The OEL initiated the 360-degree feedback implementations for development of Flags, and SESs in 2002. Then, the NFLEX was developed as a week-long program that was held in Bolger Center, Potomac, Maryland (Bowman, 2009).

With this program each participant was required to fill-out a survey and select at least six people among their superiors, peers and subordinates to rate them. The length of the survey was almost an hour, and its questions

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derived from PDI's commercial PROFILER tool (Bowman, 2009). Figure 5 shows the first- and second-order competency items on the NFLEX.

After gathering and compiling answers from the raters and ratees, a 90-minute private session was held between each of the ratees and the program coach during the week in order to help the ratees develop their own individual development plans (IDPs). However, no follow-up appointment was planned.

Figure 5.   First and Second Order Competency Items
of NFLEX 360 Assessment

FIRST-ORDER COMPETENCY	SECOND-ORDER COMPETENCY
Thought Leadership	• Use insightful analysis
	• Use astute judgment
	• Think strategically
	• Run the business of the Navy
	• Foster innovation
	• Geopolitical fluency
Results Leadership	• Align the organization
	• Lead change
	• Drive organizational success
	• Lead boldly
People Leadership	• Influence others
	• Motivate and inspire
	• Develop leaders
	• Build coalitions
	• Build organizational relationships
	• Foster open communication
Personal Leadership	• Inspire trust and credibility
	• Demonstrate agility
	• Learn continuously

Source: Bowman (2009)

4.   **Navy Senior Leadership Seminar (NSLS)**

The success of NFLEX motivated OEL to initiate a
second program that included 360-degree feedback for

Captains and senior Commanders (Bowman, 2009). This new program was used to provide 360-degree feedback to selected officers attending the Navy Senior Leadership Seminar (NSLS), a 9-day workshop at the Center for Executive Education (CEE), in the Naval Postgraduate School in Monterey, California.

The 9-day workshop focused on strategic planning, goal setting, risk management, financial management, ethics, and other leadership-related topics (Bowman, 2009). As previously done in the NFLEX program, a 90-minute coaching session was also held for the NSLS program attendees. At the beginning, contrary to NFLEX, the questionnaire used for personnel attending the NSLS was based on the civilian sector. The questionnaire items are shown on Figure 6.

Figure 6.   First- and Second-Order Competency
Items of NSLS 360 Assessment

FIRST-ORDER	SECOND-ORDER
Thought Leadership	• Make sound decisions
	• Act strategically
	• Think creatively
	• Use financial data
Results Leadership	• Meet customer needs
	• Build realistic plans
	• Manage execution
	• Show drive and initiative
People Leadership	• Build support
	• Motivate others
	• Develop others
	• Promote teamwork
	• Foster open communication
	• Establish relationships
Personal Leadership	• Establish trust
	• Show adaptability
Overall Performance	-------

Source: Bowman (2009)

Each ratee, and at least six raters selected by the ratee filled out the questionnaires. The results were compiled by PDI and presented to the ratees during the workshop. Ratees received 3 different types of information.

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First, they received the overall average score, each average score of 16 secondary items, and each average of 76 items. Second, the ratees' superiors prioritized the 16 items of the questionnaire, so that the ratees could get a better understanding of their skills and development opportunities (Bowman, 2009). Third, the ratees also received the highest and the lowest scores they received by their superiors, peers, and subordinates. This was done to help the ratees see how they see themselves and how the others see them. Like NFLEX, NSLS participants did not have any follow-up feedback sessions. In addition, although PDI developed a new Navy-specific PROFILER, the Navy discontinued the NSLS program because of budget cuts (Crawford, Personal Communication, March 21, 2012). An evaluation conducted of the entire NSLS experience indicated that NSLS had lasting positive impact on participants in terms of business of the Navy, strategic thinking etc., The interviews with the participants also proved that 360-degree feedback and coaching, as a part of NSLS, helped them to increase their self-awareness, motivate for change, and target long-term success (Crawford & Stoker, 2009).

5. **Prospective CO/XO/MC Executive Coaching Sessions at the Command Leadership School**

Command Leadership School (CLS) is established in Newport, RI to help prospective Major Commander, Commanding Officer, Executive Officer, Command Master Chief, Command Senior Chief, and Chief of the Boat develop themselves and acquire better leadership skills (Official Website of the Command Leadership School, n.d.). While offering different

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training, CLS also uses the 360-degree feedback system in collaboration with Personnel Decisions International (PDI).

CLS accepts 360-degree feedback implementation as an important activity in its trainees' leadership development. Each trainee is asked to choose raters among his superiors, peers, and subordinates. Then, ratings are gathered and submitted to CLS' certified coaches. Each trainee has a one-on-one meeting with CLS's certified coaches during their first week at CLS. All trainees, or prospective leaders, evaluate their 360-degree feedback results with a coach. Those coaches help trainees develop their skill strengths (Official Website of the Command Leadership School, n.d.).

6. System Measures, Assesses, and Recommends Tailored Solutions (SMARTS-360)

After the success of NFLEX and NSLS, the Navy put another 360-degree program on the agenda at the Surface Warfare Commanders Conference in 2004. The Navy's Inspector General hoped to increase return on investment and to reduce the damage to equipment and ships and the number of the cases of "detachment-for-cause" by altering behaviors of sailors (Bowman, 2009). So, this attempt can be considered as the Navy's first trial in seeking a cultural change by using the 360-degree feedback system.

In 2005, the Center for Naval Analyses (CNA) proposed a three-year pilot program to be used in the Surface Warfare community. The SMARTS-360's core competencies were tailored for the Navy's personnel instead of using a civilian sector package. Those competencies were based on the Chief of Naval Operations' (CNO) Five-Vector Competency

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Model. Staff at CNL identified 42 items for SMARTS-360 in accordance with the five-vector competency model. A 7-item Likert scale was used for the survey with the addition of an N/A choice. Raters also had a chance to enter open-ended input at the end of each first-order competency.

The new pilot program targeted mid-level enlisted and officers. Those people self-selected their raters, and 360-degree questionnaires were filled by both the ratees and the raters. Via Navy Knowledge Online (NKO), the system gathered the feedback from rating sources, prepared automated feedback, and then provided them to the ratees. Ratees were also given opportunities to compare themselves with people at similar ranks across the Navy. The new system also described the skill strengths and development opportunities to ratees, and helped them create their own Individual Development Plans (IDPs) by sharing their rating information with a mentor who helped them prepare their IDPs. Because of all these capabilities, the new system was named as SMARTS-360, "the System Measures, Assesses, and Recommends Tailored Solutions" (Bowman, 2009). Figure 7 shows the leadership competency items used in the SMARTS-360 pilot program.

Figure 7.   The SMARTS-360 Leadership Competency Items

FIRST-ORDER COMPETENCY	SECOND-ORDER COMPETENCY
Accomplishing Mission	1. Creates a safe work environment.
	2. Follows risk management procedures while off-duty.
	3. Follows risk management procedures while at work.
	4. Holds others accountable.
	5. Is decisive.
	6. Is open to new ideas for accomplishing work.
	7. Manages risk.
	8. Solicits new ideas for how to increase safety.
	9. Stands by decision even when it may be uncomfortable.
	10. This command is ready to its mission.
Leading Change	11. Aware of external issues impacting command mission.
	12. Develops effective solutions.
	13. Has a "can do" attitude to overcome obstacles.
	14. Modifies leadership style to fit the situation.
	15. Motivates others.
	16. Treats all fairly regardless of gender or cultural differences.
Leading People	17. Clearly defines subordinates'

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	responsibilities.
	18. Develops enlisted subordinates personally.
	19. Develops junior officers personally.
	20. Helps subordinates.
	21. Is a good leader.
	22. Professionally develops enlisted subordinates.
	23. Professionally develops junior officers.
	24. Resolves subordinate issues.
	25. Supports the Command mission.
	26. Is a mentor.
Resource Stewardship	27. Clearly defines goals for the Command.
	28. Clearly plans for the future of the Command.
	29. Does not make rush decisions.
	30. Makes day to day work more efficiently.
	31. Uses available resources in decision making.
Working with People	32. Communicates how daily work supports the mission.
	33. Creates a climate of teamwork.
	34. Delegates effectively.
	35. Is enthusiastic.
	36. Is trustworthy.
	37. Listens to me.

	38. Projects a positive attitude.
	39. Provides positive feedback.
	40. Seeks inputs from peers.
	41. Seeks open and honest communication.
	42. Works well with others.

Source: Bowman (2009)

To reduce the costs, a single survey was developed for the groups below (Bowman, 2009).

- Chief Petty Officers

- Chief Master Chiefs

- Division Officers

- Department Heads

- Commanding Officers

- Work Center Supervisors

However, the questions were altered in accordance with the level of the raters. For example, an E-9 was evaluated with "developing the junior enlisted" while an officer was evaluated with "developing junior officers" (Bowman, 2009).

The questionnaires were designed to be completed in less than 20 minutes. They were gathered by the Center for Naval Leadership (CNL) and forwarded to Adaptive Technologies Inc. (ATI) for analysis. Then the results were turned to the ratees in a few days.

By 2009, SMARTS-360 was tested as a pilot program on 18 ships and 5 shore commands by surveying more than 600

personnel (Bowman, 2009). In 2008, SMARTS-360 was also used for predicting who could make a successful Senior and Master Chief, even though the data were not actually used for selection (Bowman, 2009). Although it was found very effective as indicated by participants, the program has since been discontinued due to budget cuts (P. Cavanaugh, personal communication, March 21, 2012).

7.   Use of SMARTS-360 for Assessment Purposes

The Navy wanted the 360-degree feedback system to be used for command assessments in addition to personal and professional development in order to see the correlation between SMARTS-360 scores and command and ship safety (Bowman, 2009). The analyses showed that there are strong correlations between the average scores on SMARTS-360's 42 items and ship and safety outcomes (r=.842), and average SMARTS-360 scores and ship readiness (r=.497) (Bowman, 2009).

8.   Bowman's Study on Leadership Development of the Navy's Personnel

Bowman (2009) first introduced the 360-degree feedback programs of the U.S. Navy in his study, and then analyzed the usefulness of SMARTS-360 pilot program by focusing on the "SMARTS-360 Surface Warfare Pilot Project" that was implemented between 2007 and 2009. He used data collected from the Surface Warfare Officer (SWO) community. The data included 3,500 ratings of 624 participants. He divided participants into 4 groups: Mid-Grade Officers, Junior Officers, Master/Senior Chief Petty Officers and Chief Petty Officers. After this categorization, he compared each group on self- and others'-ratings, and also compared

enlisted and officer groups in terms of development perceptions. Table 1 presents various metrics on the results of the first SMARTS-360 implementation.

a. Number of Raters and Loss of Data

Participants of NSLS and NFLEX pilot programs were required to select a minimum number of raters in order to obtain accurate and trustable feedback data. However, such a minimum number requirement was not held for the SMARTS-360 pilot program (Bowman, 2009). As a result, while some of ratees did not receive feedback, the others received from different sources up to 15 people. Table 1 shows the frequency of ratees and the number of raters who completed and returned the feedback survey.

Table 1.   Distribution of Number of Raters by Ratees

# of Raters	Frequency of Ratees	Percentage	Cumulative Percentage	# of Ratings
0	22	3.5	3.5	0
1	39	6.3	9.8	39
2	61	9.8	19.6	122
3	63	10.1	29.6	189
4	74	11.9	41.5	296
5	58	9.3	50.8	290
6	65	10.4	61.2	390
7	66	10.6	71.8	462
8	66	10.6	82.4	528
9	33	5.3	87.7	297
10	46	7.4	95.0	460
11	16	2.6	97.6	176
12	10	1.6	99.2	120
13	4	0.6	99.8	52
14	0	0.0	99.8	0
15	1	0.2	100.0	15
TOTAL	624	100.0	100.0	3436

Source: Bowman (2009)

The survey provided to raters and ratees included an N/A choice, and some of the selected raters refused to rate. As a result, some of the data were "missing." The distribution of the missing data on the survey items is shown in Figure 8.

Figure 8.   Distribution of Missing Data on Survey Items
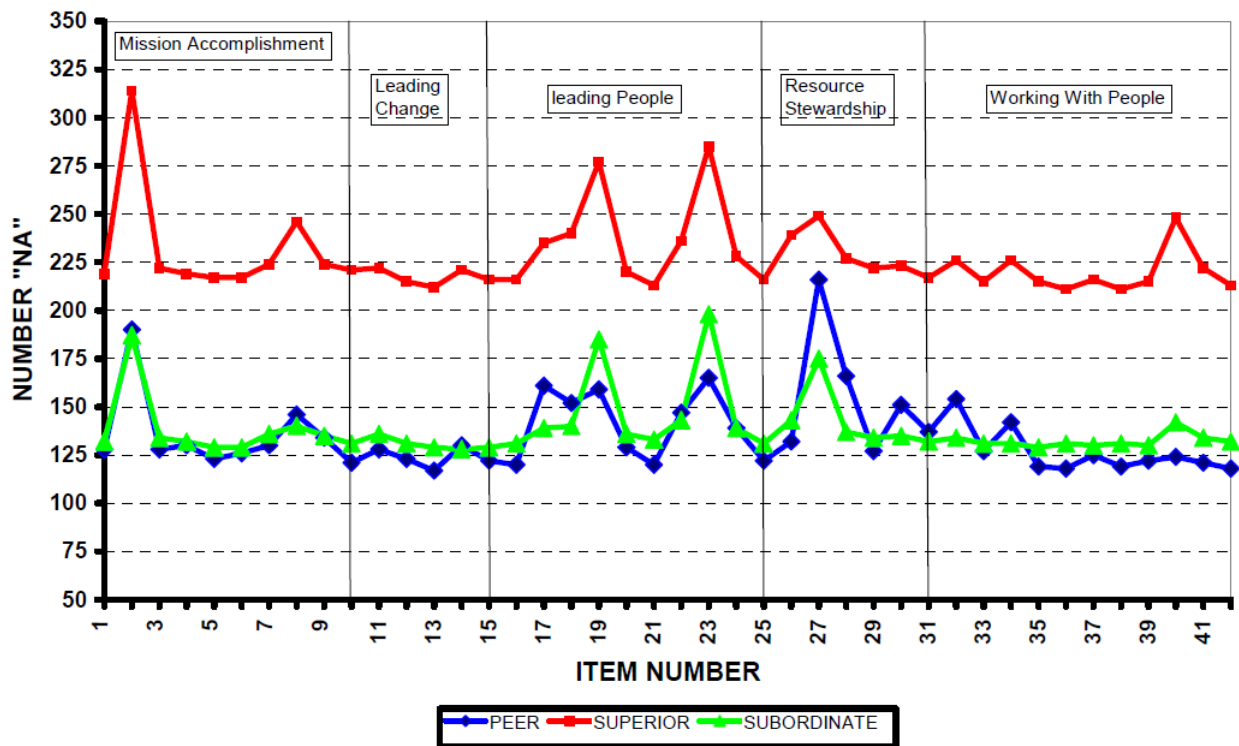
It can be seen from Figure 8 that 36% (225/624) of the ratees were not rated by their superiors, and 20% (125/624) of ratees were rated by neither peers nor subordinates (Bowman, 2009).

Figure 8 also shows that some items with the largest numbers of missing values are common for three of the feedback sources. Bowman (2009) explained that these

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items on the survey should be reviewed to determine why most people might have left them unanswered. Figure 9 shows the definitions of those items.

Figure 9.   Common Missing Items of SMARTS-360 Program Survey

Item #	Definition
2	Follows risk management procedures while off duty.
8	Solicits new ideas for how to increase safety.
19	Develops junior officers personally.
23	Professionally develops junior officers.
27	Clearly defines goals for the Command.
40	Seeks input from peers.

Source: Bowman (2009)

b.   *Percentage Discrepancies*

The difference between self- and others'-ratings is important as it helps ratees be aware of how they perform, and how their performance is evaluated by others. Bowman (2009) used percentage differences to present the disagreement between the self- and others'-ratings. The formula used for calculation of each 42 competency items was:

$$Y = [(\text{average non-self-score})-(\text{self-score})]/(\text{self-score})$$

Figure 10.   Self- and Others'-Ratings Discrepancies
in Percent of CPOs

PERCENT DIFFERENCE IN MEAN SCORE FOR 42 LEADERSHIP ITEMS
BY SUBORDINATES, PEERS & SUPERIORS FROM SELF REPORTS:
CHIEF PETTY OFFICERS
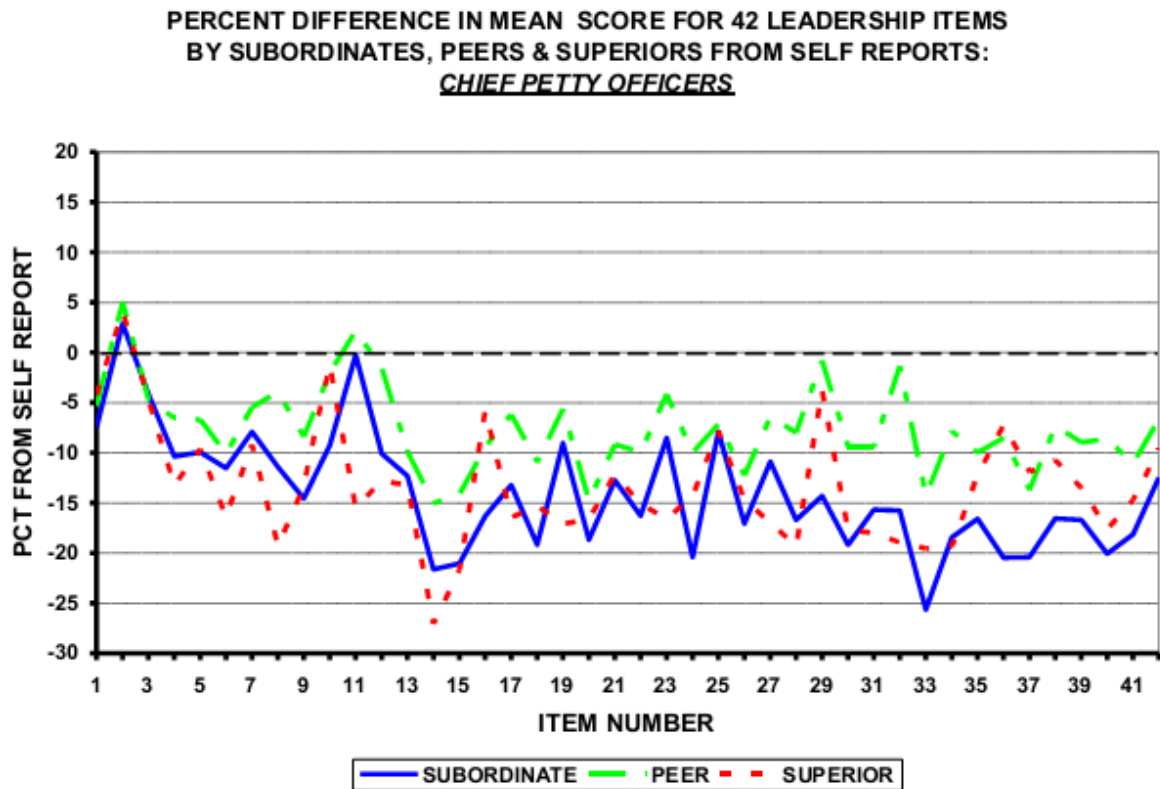
Source: Bowman (2009)

Bowman created graphs to present those discrepancies by rank groups. Figure 10 shows the percentage ratings' discrepancies for Chief Petty Officers (CPOs). An average CPO rates himself as much as 30% higher than others. Peers provide higher ratings than do subordinates and superiors.

Figure 11.   Self- and Others'-Ratings Discrepancies in
Percent of SMCPOs

PERCENT DIFFERENCE IN MEAN SCORE FOR 42 LEADERSHIP ITEMS
BY SUBORDINATES, PEERS & SUPERIORS FROM SELF REPORTS
SENIOR/MASTER CHIEF PETTY OFFICERS
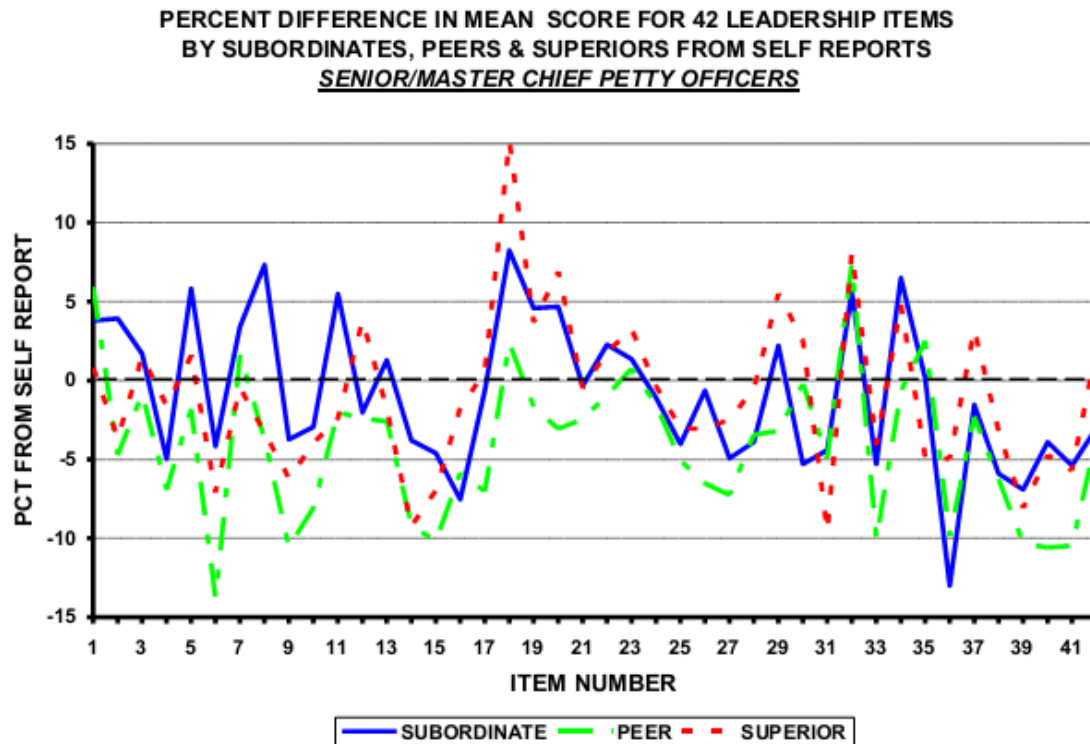
Source: Bowman (2009)

Figure 11 shows the percentage rating
discrepancies for Senior/Master Chief Petty Officers
(SMCPOs). An average SMCPO rates himself either higher or
lower than the others. The self- and others'-ratings
discrepancy can be up to 15%. In comparison to an average
CPO, one can conclude that an average MSCPO knows his skill
strengths and development needs better than does an average
CPO. Peers provide lower ratings to MSCPOs than do
subordinates and superiors.

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Figure 12.   Self- and Others'-Ratings Discrepancies
in Percent of JOs

**PERCENT DIFFERENCE IN MEAN SCORE FOR 42 LEADERSHIP ITEMS
BY SUBORDINATES, PEERS & SUPERIORS FROM SELF REPORTS:
JUNIOR OFFICERS**
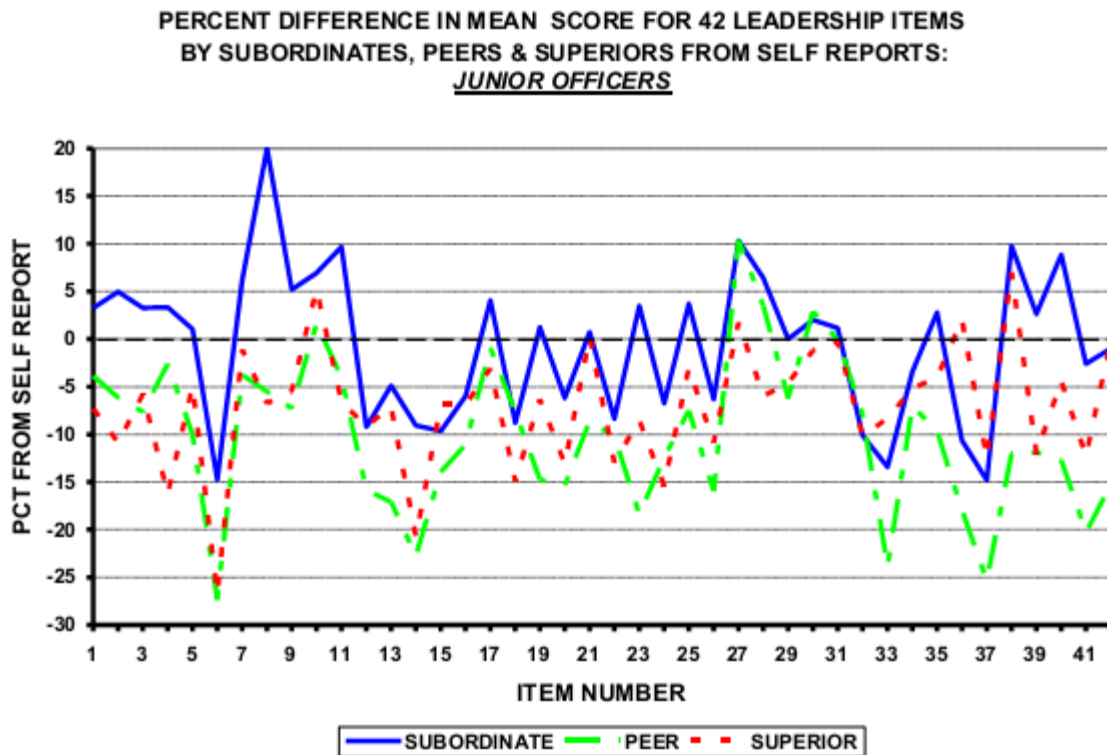
Source: Bowman (2009)

Figure 12 shows the percentage ratings
discrepancies of Junior Officers (JOs). JOs' average self-
and others'-ratings discrepancy can be as high as 25%.
However, even though others' ratings exceed their self-
ratings at some points, JOs still have high rating
discrepancies. For each leadership competency (except #33),
subordinates provide the highest ratings.

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Figure 13.   Self- and Others'-Ratings Discrepancies
in Percent of MGOs.

PERCENT DIFFERENCE IN MEAN SCORE FOR 42 LEADERSHIP ITEMS
BY SUBORDINATES, PEERS & SUPERIORS FROM SELF REPORTS:
MID-GRADE OFFICERS
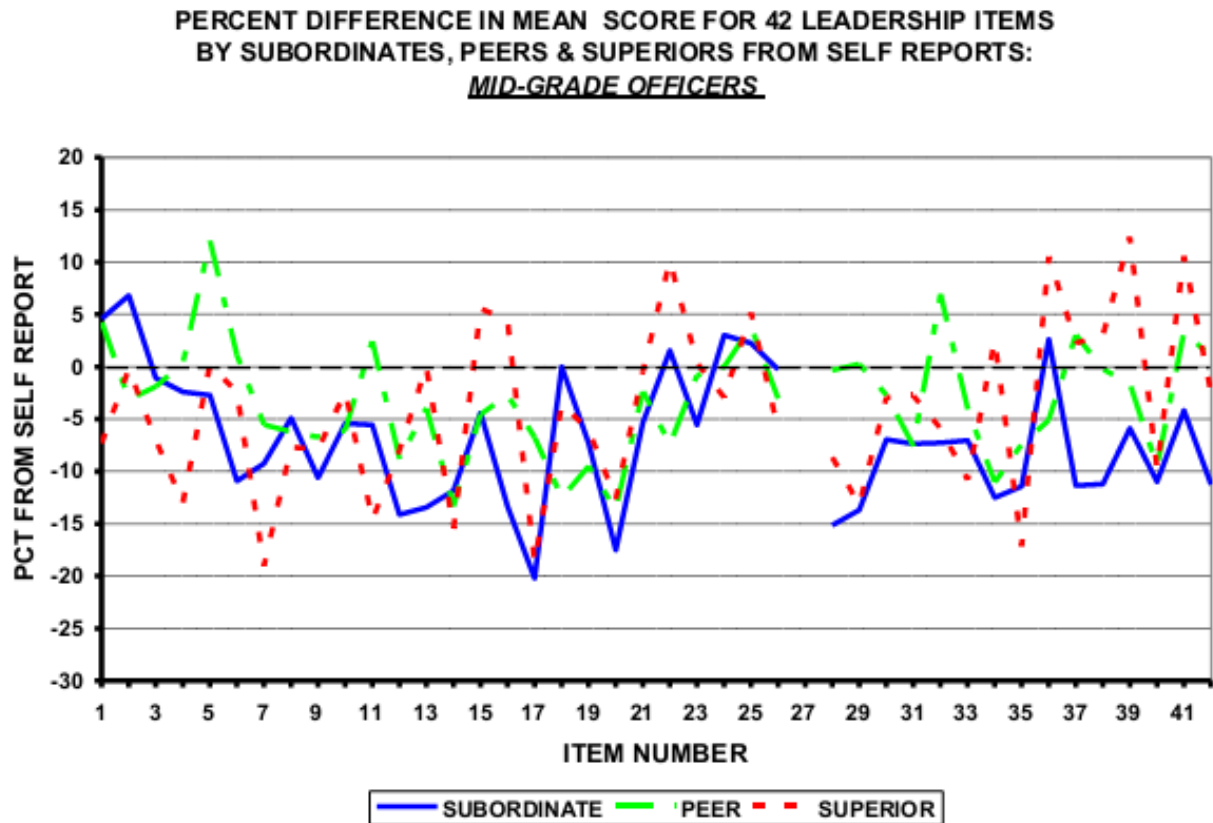
Source: Bowman (2009)

Figure 13 shows the percentage ratings' discrepancies of Mid-Grade Officers (MGOs). Just like JOs, MGOs also rate themselves above the others. However, MGO's self- and others'-ratings discrepancy can be as high as 20%. The lowest ratings are provided by subordinates.

c.   Distribution of Non-Self Responses

Leadership might be correlated with experience and the level of managerial assignment. In the military context, these two variables can be captured with a single variable: Rank. According to Bowman (2009), average non-self-scores are the best tools to evaluate performance. To

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obtain more accurate results, Bowman (2009) dropped all N/A responses, and used the non-self-ratings of 302 enlisted and 109 officers. Bowman (2009) then presented the graphs that showed the distribution of average non-self-ratings on 42 leadership competency items. These scores are shown in Figure 14.

Figure 14.   Average Non-Self Ratings of Officers

NON-SELF RESPONSE SMARTS-360 AVERAGE SCORE FOR 42 ITEMS:OFFICERS (N=109)
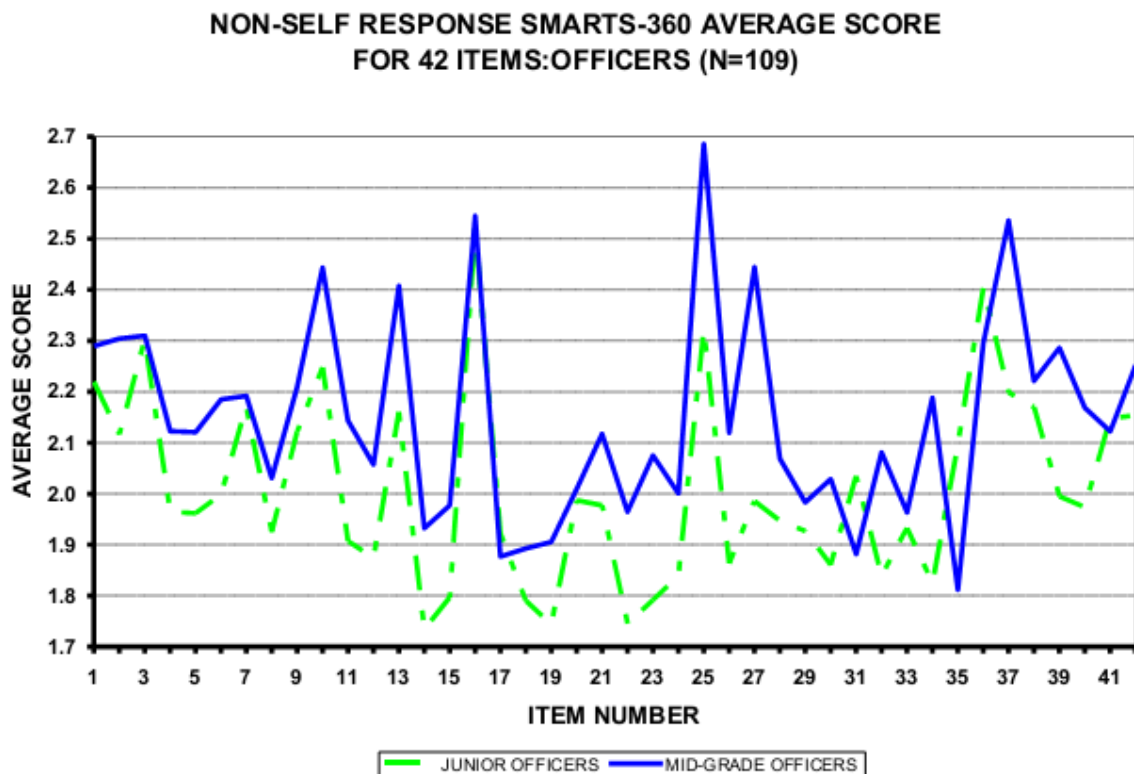
Source: Bowman (2009)

Even though the patterns of non-self-ratings looked parallel, Figure 14 shows that MGOs received higher non-self-ratings than JOs did.

Figure 15.   Average Non-Self Ratings of Enlisted

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NON-SELF RESPONSE SMARTS-360 AVERAGE SCORE FOR 42 ITEMS:ENLISTED (N=302)
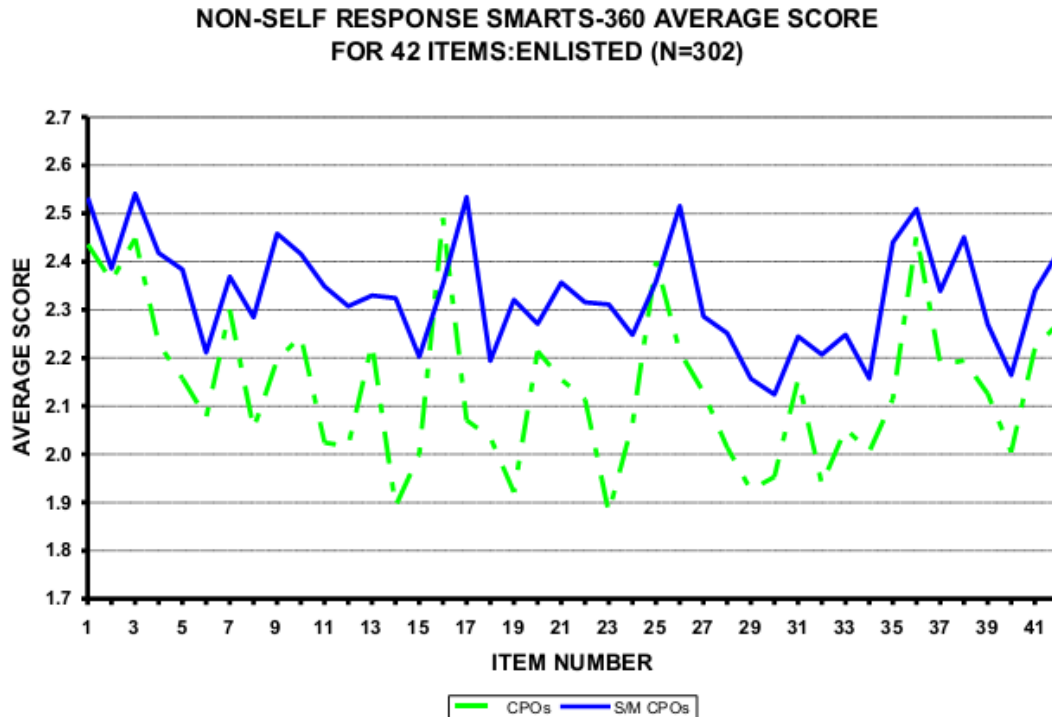
Source: Bowman (2009)

Figure 15 shows the comparison Of MSCPOs to SPOs. The patterns of average non-self-ratings seemed parallel, and MSCPOs are better than SPOs in terms of average perceptions of peers, subordinates, and superiors.

d.   Self- and Others'-Ratings Discrepancies

Another metric used by Bowman (2009) was to compare the self- and others'-ratings by dropping the N/A response. Figure 16 provides the comparison of self- and others'-ratings of CPOs, and Figure 17 provides that of MSCPOs.

Figure 16.   Chief Petty Officers' Self- and Others'-Ratings

**MEAN RESPONSE SMARTS-360 SCORES FOR 42 LEADERSHIP ITEMS
BY SELF & NON-SELF RESPONSDENTS: CPOs**
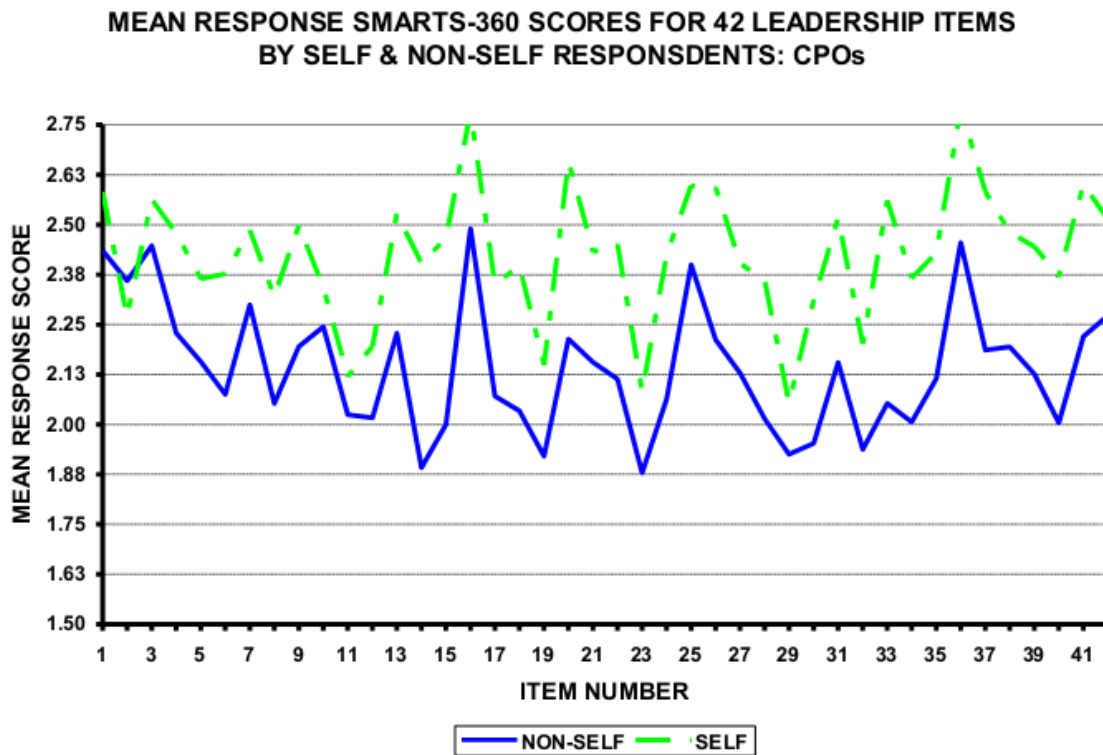
Source: Bowman (2009)

Figure 16 shows that CPOs rated themselves higher than others did. However, both ratings patterns look quite parallel.

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Figure 17.   Master/Senior Chief Petty Officers' Self- and
Others'-Ratings

**MEAN RESPONSE SMARTS-360 SCORES FOR 42 LEADERSHIP ITEMS
BY SELF & NON-SELF RESPONSDENTS:
SENIOR/MASTER CPOs**
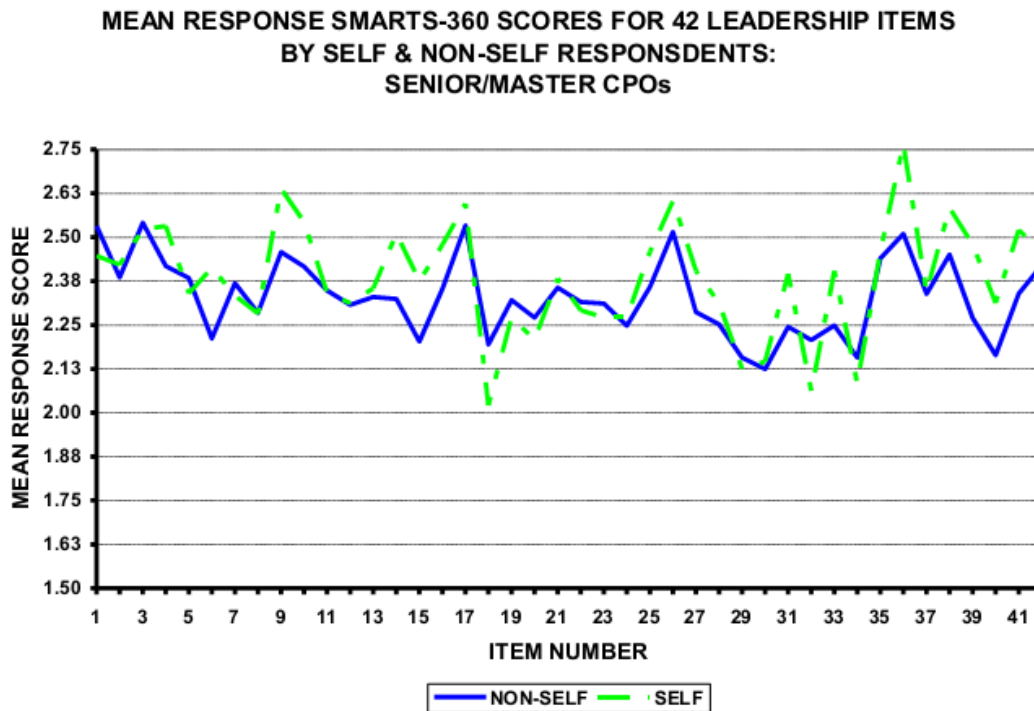
Source: Bowman (2009)

Figure 17 shows the comparison of self- and
others'-ratings of SMCPO's. SMCPO's self- and others'-
ratings discrepancy is very low comparing with that of
CPOs.

Figure 18.   Junior Officers' Self- and Others'-Ratings

**MEAN RESPONSE SMARTS-360 SCORES FOR 42 LEADERSHIP ITEMS
BY SELF & NON-SELF RESPONSDENTS:
JUNIOR OFFICERS**
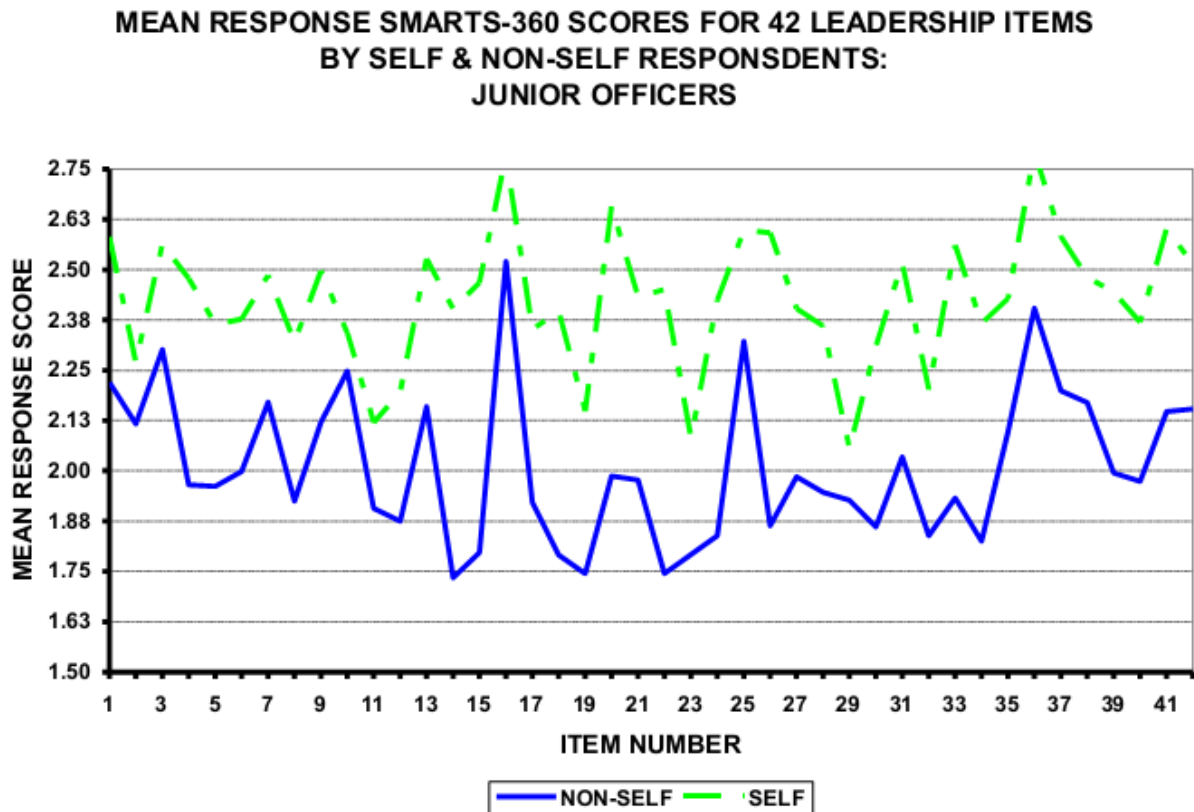
Source: Bowman (2009)

Figure 18 provides the comparison of self- and others'-ratings of JOs, and Figure 19 provides those of MGOs. Like CPOs' and SMCPOs' ratings, JOs' self- and others'-ratings also followed a parallel pattern. However, JOs rated themselves higher above than they were by the others.

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Figure 19.   Mid-Grade Officers' Self- and Others'-Ratings

**MEAN RESPONSE SMARTS-360 SCORES FOR 42 LEADERSHIP ITEMS
BY SELF & NON-SELF RESPONSDENTS:
MID-GRADE OFFICERS**
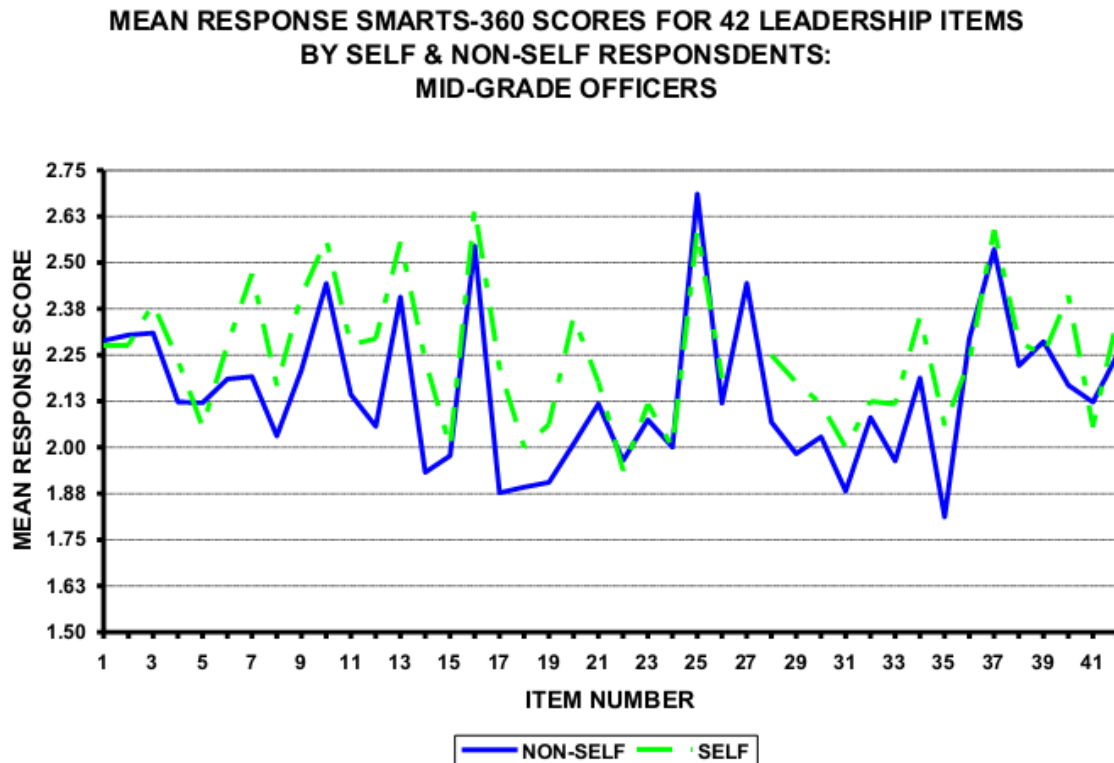
Source: Bowman (2009)

Figure 19 shows that like MSCPOs, MGOs also showed small ratings discrepancies. MGOs may be far beyond JOs in terms of insights.

e.   *Conclusions*

Bowman's (2009) analyses led to the following conclusions:

- Unless ratees are required to select a certain number of raters, there may not be enough data collected to ensure a valid assessment.

- The analysis of missing data as shown in Figure 8 may provide ideas about appropriateness of the survey items.

- Figures 14 and 15 show us that MGOs' average others' ratings were higher than that of

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JOs, and SMCPOs' average others' ratings were higher than that of CPOs. This shows that leadership skills are positively related to professional experience.

- Comparing Figure 16 to Figure 17 and Figure 18 to Figure 19 shows us that SMCPOs are more accurate than CPOs and MGOs are better off than JOs in terms of self-evaluation. This also shows that leadership skills are positively related to professional experience.

H.   SUMMARY

360-degree feedback solicits feedback from superiors, peers, subordinates, internal, and external customers and provides a snapshot to individuals on how they are viewed by others. The implementation of 360-degree feedback varies from organization to organization, based on the mission and need of the organization. The concept for 360-degree feedback was introduced in the 1950s but was not widely used in the workface until the early 1990s. Today, almost 90 percent of Fortune 500 companies use some form of 360-degree feedback (London, & Smither, 1995).

Although 360-degree feedback is gaining momentum and popularity among organizations, there are still disagreements as to whether 360-degree feedback should be used for developmental purposes, for performance appraisal, or both (Atwater & Brett (2007), and London (2001)). The U.S. Army conducted two pilot programs (the Leader Azimuth Check, and the Army Leader Assessment Feedback Program), and recently implemented a variant of the 360-degree feedback system known as the Multi-Source Assessment and Feedback. The Navy also conducted a pilot program known as System Measures Assesses and Recommends Tailored Solutions

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(SMARTS-360) to analyze the applicability of 360-degree feedback in the Navy setting.

This chapter analyzed the U.S. Navy and Army's 360-degree programs to provide a better understanding of personnel development approaches in the U.S. military. Although the SMARTS-360 pilot program and the NSLS program participants found the program to be very beneficial, the Navy decided to discontinue them. On the other hand, the Army conducted a 360-degree feedback pilot program, and the program was found useful by the participants, too. However, contrary to the Navy, the Army is implementing a 360-degree feedback program known as MSAF 360 across the Army. The next chapter focused on literature review of employee development and 360-degree feedback implementations.

IV. LITERATURE REVIEW OF EMPLOYEE DEVELOPMENT AND 360-DEGREE FEEDBACK

A. INTRODUCTION

Employee development is not a new concept. Organizations have traditionally invested in management development. Crane (1979) asserts that organizations invest in management development to maintain continuity in the organization, to ensure proper line of succession so as not to disrupt ongoing progress, and to develop competent management teams that will work in the same direction to support organizational goals.

Today, not only do organizations continue to invest in employee development; they seek better tools to do it. 360-degree feedback is becoming a popular employee development tool in both the civilian sector and the military organizations. This chapter provides a literature review of the benefits of employee development as well as studies of 360-degree feedback as a valid employee development tool. First, the rationale for investing in employee development is explored and the benefits are identified. Next, arguments for and against using 360-degree feedback are provided. Finally, this chapter discusses where, when, and how 360-degree feedback should be used.

B. BENEFITS OF DEVELOPING EMPLOYEES

Organizations will engage in activities that maximize profit or labor productivity, all else being equal (Ehrenberg & Smith, 2005). Maximizing labor productivity often requires investment in technology, labor, or capital

(including human capital). Some organizations assume employees only value pecuniary benefits. However, employees value both pecuniary and non-pecuniary benefits. Employee development benefits both the employee and the employer (Mathis & Jackson, 2003).

Employee development includes general training. Investment in general training can be a risky investment for an organization because general training skills are transferable across organizations (Ehrenberg & Smith, 2005). There is no guarantee that an employee will not seek better jobs elsewhere after receiving general training. However, firms that invest in employee development and manage to retain those employees may gain from increases in worker productivity. Barrett and O'Connell (2001) analyzed the effects of general training, specific training, and other types of training on productivity and found that general training has a significant impact on productivity growth.

Holzer, Block, Cheatham, and Knott (1993) suggest that employers that invest in training programs do so partly to retain productive employees. By training employees, organizations stand to increase their profit margin through increased labor productivity. Huselid (1995) observes that employers want to retain productive employees when facing stiff competition in the labor market.

Organizations are keen to retain talented employees due to high recruiting and training costs. According to Fernández-Aráoz, Groysberg, and Nohria (2011), the need to retain talented employees is relevant not only in highly profitable sectors but also in "sectors experiencing modest

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growth." They conducted a study and found that only 15 percent of North American and Asian companies believe they have sufficient qualified personnel capable of filling key positions within their companies. European companies fared better with just below 30 percent. Adding to this dilemma is the shortage of experienced managers in regions where many companies are focusing their growth strategies. Moreover the shortage is expected to continue for another decade (Fernández-Aráoz et al., 2011).

In addition to retaining qualified employees, employers want employees who are motivated. Low morale is undesirable in the workforce. Davis and Scott (1964) define morale as "the extent to which an individual's needs are satisfied and the extent to which the individual perceives that satisfaction as stemming from his total job situation" (p. 63). Even highly effective employees can be affected by low morale in the workplace. Good human resource management practices, such as employee development programs, can encourage highly skilled employees to work harder and more efficiently (Davis & Scott, 1964). Possible side effects of low morale include bad customer service, increased turnover, and increased conflict in the workplace. Ineffective leadership can be a contributing factor to low morale in the workplace.

There have been ongoing debates about whether leadership is innate or people are trained to be leaders. If everyone is a born leader, then there would not be a need for organizations to invest in leadership development. Reardon (2011) explains that "while some may be predisposed to leadership, the notion of a born leader is rare." It is

widely accepted that a small percentage of people are born with special skills and abilities; therefore, it is possible that leading comes easier to some people than others. Nevertheless, very few people are successful leaders; and "inspired leadership requires efforts" (Reardon, 2011).

The military is known for producing great leaders. Those leaders are not created in a vacuum. Military services invest in the training and development of their leaders. As indicated in the Army's "A Leader Development Strategy for a 21st Century Army," guidance, today's military leaders must be developed in a way that will help them navigate an increasingly complex environment. The Army and other military services are looking at leadership developing not just in terms of training but also in terms of personal well-being. For example, the Army is encouraging individuals to take time off from the service and reenter without penalty. In an interview with Hargrove and Sitkin in 2011, General Martin Dempsey indicated that he sees the so-called "revolving door" policy as one of many instruments of leader development. General Dempsey's statement is in line with the notion that employee development is broader than just acquiring work-related skills; it also provides for employees' self-actualization and general happiness in life (Chruden & Sherman, 1968).

Mentoring is an integral part of leadership development. According to Lester, Hannah Harms, Vogelgesang, and Avolio (2011), mentorship enhances leader development. It is not enough to have mentors. The extent to which mentorship enhances development depends on the

mentor's effectiveness. Some mentors are more experienced than others and, therefore, tend to be more effective. Mentoring is more effective when it is done on an individual basis (Lester et al., 2011).

C.   360-DEGREE FEEDBACK LITERATURE REVIEW

There are debates and conflicting views about 360-degree feedback system and its use for appraisal and/or personnel development. However, this chapter tries to provide a better understanding of these issues.

1.   10 Reasons to Use 360-Degree Feedback

Garavan, Morley, & Flynn (1997) divide the benefits of 360-degree feedback system into two categories: organizational and individual.

a.   *Benefits to Organizations:*

- Contrary to top-down assessment, 360-degree system gives opportunity to evaluate subordinates, peers, superiors, customers, and suppliers. No matter the survey used, the 360-degree feedback measures the communicational abilities of the raters. Thus, people may have to improve their communicational skills. This results in a better communication environment in organization.

- Employees feel themselves more respected since they witness that their opinions are asked and counted.

- By the help of the organization's new atmosphere brought by 360-degree feedback system, individuals can establish better relationships at the work place by improving their skills of working in teams. According to Iles (2001), 360-degree feedback is the most suitable of the flat structures where

well-trained employees are more directly involved in the decision making process, rather than closely supervised by many layers of management.

b.   *Benefits to Individuals:*

In terms of benefits to the individual, the following are most often cited:

- Since ratees are evaluated by their superiors, peers, and subordinates; they receive multiple, however different feedback on their certain abilities.

- This type of feedback is easy to understand and accept, since it comes from different sources that render the feedback more reliable.

- After receiving negative feedback managers may develop their skills.

- Even though it changes from person to person (Brett & Atwater, 2001), if the self-others' ratings discrepancy is high enough, this situation may motivate the people.

- The feedback sheds light on skill strengths and development opportunities of people, thus those people can have a better insight. Then, they can make a better career plan for themselves.

- There is a possibility that if people cannot solve the problems between themselves, this situation may yield conflicts. However, even though it's anonymous, since people address the issues with others, and those others use the feedback for improving themselves, providing feedback may have a positive effect in preventing or solving the conflicts.

- Another possible benefit of 360-degree feedback is managers may provide either positive or negative feedback indirectly.

2.   12 Reasons Not to Use 360-Degree Feedback

Even though it is used by more than 90% of the Fortune-500 companies, there are still debates and counter ideas about the 360-degree feedback system.

- According Moses, Hollenbeck, & Sorcher (1993);

  - Raters may not be able to identify the ratees' behaviors correctly.

  - Raters' memory plays an important role in rating activity, so previous behaviors might be ignored wile more recent experiences are reflected in ratings.

  - Feedback is provided to ratees based on survey scales, and those scales are identified by designers. This situation may limit interpretation of feedback to ratees.

- According to London and Beatty (1993), 360-degree feedback can affect the individuals in a way that those individuals may feel a pressure to work harder even exceedingly their limits, especially when all received feedback is negative.

- According to London, Wojhlers, and Gallagher (1990), both managers and subordinates may feel uncomfortable with 360-degree feedback. Managers may find being evaluated by subordinates as threatening their career, while employees may be afraid of revenge by their managers, especially if managers are rated low.

- According to Kalpan (1993), a feedback system can cause "survey fatigue." This is especially true for large organizations where surveys must be repeated many times. As an example, an organization employing one manager, 3 sub-managers and 20 employees must conduct 144 surveys if at least 6 raters are required for each ratee.

- The items on the survey may not fit all the people in the organization. For example "leading the change" or "giving others opportunities to explain their ideas" cannot fit an individual at

an entrance-level position of an organization. This may negatively affect the results of the survey.

- In most practices, the ratees are asked to select their own raters. However, according to Bracken (1994) this situation can be abused by ratees as they may select their friends who may provide high ratings and positive comments.

- According to Garavan et al. (1997), negative feedback can cause problems in an organization unless a trained employee is assigned to deal with this problem. Negative feedback can cause decays in performance or motivation of employees or retaliation with damage to the organization, eventually.

- According to Garavan et al. (1997), using surveys is "time-consuming" as each individual may have to rate many others. During survey times, people will not be able do their jobs. Especially when people have the opportunity to select their own raters and some people are more likely to be selected than others because of propensity to rate high; those selected people will be off work more than the others as they have to fill out surveys above the average number.

- Another drawback of the 360-degree feedback system is its monetary side. Campbell (1994) estimates the cost of 360-degree survey at £10 to £15 per person, and he also claims that it is ten times more expensive than a traditional top-down evaluation.

- Morgan Cannan, and Cullinane, (2005) suggest that participants may have negative emotions and/or perceptions about 360-degree feedback. They also provide some feedback from participants as shown below:

> Anonymous: I'm just the sort of person that thinks that if you have a problem with someone you should talk to them about it and address it that way... I can't honestly say that there was anything that helped me in any way...

> Anonymous: I was personally disappointed that people who had issue with me couldn't address this with me face to face...it was certainly more of a personal attack than constructive criticism (at least this is what it felt like).

> Anonymous: I can't honestly say that I was enlightened as a result of the whole exercise...I am aware of things I need to watch out for and things that I know that I do well and that people appreciate.

3. How to Distribute Feedback to Ratees

Though there may be different ways to present the 360-degree feedback reports to the ratees, Garavan et al. (1997) refer to Van Veslor and Wall's (1992) suggestions:

- a summary of results
- a statistical summary including average ratings
- a statistical summary including average scores of rated behaviors
- independently prepared summaries of each ratings sources

According to London and Beatty (1993), summarized reports or statistical analyses are the most reliable and understandable. They also advise not to overload the ratees with statistics.

Atwater and Brett (2007) support online feedback because it increases trust and confidentiality. But they also do not recommend online feedback delivery without facilitation and support in processing the feedback. There are some ways to process the raw feedback before giving it to the ratees such as employing mentors and/or coaches.

According to Brett and Atwater (2001) higher ratings from peers, subordinates, and supervisors may not

necessarily be related to positive reactions. However, lower ratings given by superiors and peers can significantly cause negative reactions. In addition, Russell's (1980) study also showed that reactions sourced from negative feedback comparing with that sourced from positive feedback may be more intense, and stronger. For example high ratings can cause pleasure, but may not cause emotional arousal such as joy. However, low ratings may cause emotional arousal such as anger. These two studies show that despite the development goals of the 360-degree feedback, if the results are given to ratees without a professional's help, the results may not be favorable.

4. Appraisal or Development?

There are conflicting views on using the 360-degree feedback system for performance appraisal instead of developmental purposes (Garavan et al., 1997). O'Reilly (1994) suggests that the scores from the raters change regarding the purpose of the use of the feedback. He found that when the feedback is used for appraisals, friends inflate their scores and rivals act lukewarmly.

Though they report that the majority of the supervisors believe that subordinates are in better positions to evaluate certain aspects of job performance, Bernardin, Dahmus, and Redmon (1993) also provide a list of concerns related to the use of the 360-degree feedback for performance appraisals:

- Like every individual, managers would like to receive higher rates, too. This situation may cause managers to try to please subordinates. This undermines management authority.

- Subordinates may not be capable of rating their managers.

- Like they did for friends, subordinates may also inflate ratings they provide to managers in order to help them. Or, subordinates may inflate their scores because of the fear of retaliation of managers.

- Subordinates may give low ratings to managers who force them to work hard.

- Managers might have difficulties in comparing ratings from subordinates with from peers and superiors.

However, Maylett (2009) claims that using 360-degree feedback for appraisal purposes gained popularity over the last decade, thus 360-degree feedback can be used for both development and appraisal purposes. Maylett (2009) suggests that evaluation of one supervisor may be inaccurate; however the 360-degree feedback provides more accurate data, as it is gathered from different individuals at different positions. Maylett (2009) also strongly claims that economic reality incents companies to use 360-degree feedback for appraisal purposes. He gives an example: "A group of managers always hit their revenue targets. As a result those managers always received higher appraisal rates and better compensation than other managers who are less likely to achieve desires sale numbers. But, the first group of managers has high turnover rates, and has difficulty in attracting new employees. This situation shows that, the company sacrificed long-term success to the short-term profits." However, this company might have understood the management skills of its managers by using 360-degree feedback. Peers and subordinates are able to

provide a better performance evaluation than a superior, especially when the superior is not able to observe all performance areas (Maylett, 2009).

While there is a debate of the use of 360-degree feedback for performance or appraisal, Maylett (2009) suggests both uses but not at the same time. He describes personal and professional development as measuring how a person works; and appraisal as measuring what a person can do. He claims that performance appraisal measures an individual's performance and accomplishments by comparing organizational goals and targets, however, development evaluates how an individual achieved the organizational goals and target.

After separating appraisal from development, Maylett (2009) claims that different metrics should be used for appraisal and development implementations, as both have different targets and measures. More specifically, he suggests using 360-degree feedback for development purposes for a few years until the organization and its members adapt to it, then slowly transition to using 360-degree feedback for appraisal purposes. Figure 20 shows his migration path.

Figure 20.   From Development to Appraisal 360-Degree Feedback

360 Feedback Development to Appraisal Migration Path

Personal Development	Personal & Organization Development	Assessment & Development	Performance Appraisal
• 360 feedback is part of a development event (class, training, etc.). • Reports are available only to the employee and are strictly confidential. • Rater selection and action follow-up are participant-driven. Employee is responsible for development.	• 360 feedback is part of an organization development program. • Action plans and results are formally discussed with a manager/coach. • Employee and organization select raters. Employee and organization work together on development.	• 360 feedback is part of a formal development and appraisal process. • Reports are formally discussed by employee and manager. • Organization (HR, managers) selects raters. Data included as input into administrative and development actions.	• 360 feedback is part of a formal performance appraisal process. • Data is owned by the organization. Results are included in a performance review. • Organization (HR, managers) selects raters. Results are linked directly to administrative actions, such as compensation.

Development   *Mixed*   *Appraisal*

Source: Maylett (2009)

5.   The Number of Raters Necessary to Provide Accurate Feedback

Identifying the necessary numbers for feedback is important since it commands organizations' scarce resources such as time, and money. The money spent on the 360-degree feedback software composes the fixed part of costs; counts of surveys delivered and filled out by individuals compose the variable part of it. The more people are surveyed, the more money is spent. The number of surveys conducted also has implicit costs, such as labor hours spent for evaluation purposes but not for business activities. In addition, launching too many surveys may cause survey fatigue. Survey fatigue may play a distracting role for

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raters and may result in incorrect feedback that destroys individual development.

On the other hand, the more feedback is obtained, the more accurate feedback is reached (Robinson, & Robinson, 1989). The use of inaccurate feedback may cause trustworthiness and fairness problems leading to organizational effectiveness problems (Fahr, Cannella, & Bedeian, 1991; Gray, 2002).

Hensel, Meijers, van der Leeden, and Kessel (2010) suggest the use of 10 raters to measure capacity to develop, and 6 raters to measure motivation to develop at a satisfying level of reliability. In addition to that, Atwater and Brett (2007) suggest to using at least 3 subordinate ratings, for both anonymity and accuracy, as subordinates may change their scores if they feel the fear of being identified by superiors.

6.   Importance of Coaching

According to Ilgen, Fisher, and Taylor (1979), and as shown in Figure 21, there are 4 steps for a behavior to be changed. At the first step, feedback is perceived. At the second step, it's accepted as accurate, and at the third, feedback is accepted as useful for personal development. At the final step, related behavior changes.

Figure 21.   Changing Target Behavior in 4 Steps.

| Feedback is perceived. | → | Feedback accuracy is accepted. | → | Feedback is found useful. | → | Target behavior changes. |
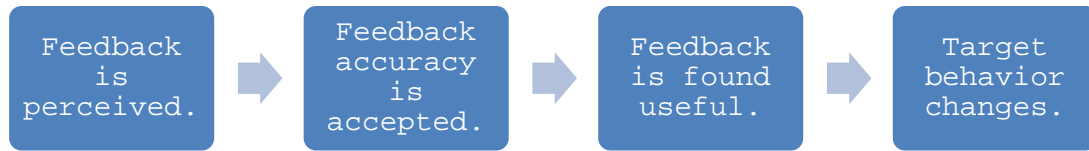
Source: Ilgen et al. (1979)

Brett and Atwater (2001) stated that individuals assess the accuracy of feedback they receive and this perception of accuracy determines whether their reactions will be positive or negative. Perception of inaccuracy will result in negative reactions to feedback, while perception of accuracy result in positive reactions. In addition, the more accurate individuals accepted feedback as, the greater belief for usefulness.

Brett and Atwater (2001) warn the feedback implementers of 360-degree feedback system to be aware of the fact that, individuals who received low ratings may need extra help. This extra help may include coaching or additional follow-up sessions. In their study, Brett and Atwater (2001) also witnessed that individuals' perceptions on the usefulness of feedback was positively altered by a coaching session. Providing feedback without the help of a coach or a mentor can be a problem (Brett & Atwater, 2001). While expecting managers to develop, some of them who receive negative feedback can act unexpectedly and have negative reactions. These negative reactions also might be stronger than the reactions to positive feedback. However, Smither, London, Flautt, Vargas, and Kucine (2003) showed

that individuals who work with coaches set more specific goals, solicit ideas from their supervisors, and improve themselves. In addition, Luthans and Peterson (2003) also suggested that 360-degree feedback, when used with coaching, helps individuals to increase self-awareness. With their study, Luthans and Peterson (2003) showed that combining the 360-degree feedback with coaching:

- Helps individuals understand feedback reports, and prepare IDPs effectively;

- Improves work attitudes and decreases intentions to quit, thus reduces turnover, and eventually reduces the costs;

- Increases individuals' satisfaction and commitment, thus increases work efficiency and eventually monetary benefits.

D. SUMMARY

Employee development benefits employees and employers alike. According to Coleman (1979), through development, employees "can acquire new job skills, conceptual tools, or human abilities to help solve organizational problems." It also allows "organizations to build capacity to solve current problems and to meet future needs." Organizations that manage to retain highly developed, marketable, employees can also benefit from increased productivity growth. Employee development can serve as a symbol to employees that the organization values them by not only investing in their professional development, but in their personal development as well.

Organizations strive to retain skilled and productive employees because the costs associated with turnover are quite high (Lynch & Black, 1998). Organizations want to spend as much time as possible conducting firm-related

activities and less time and resources on hiring and training. By developing employees' existing skills and giving them new ones, employees will be able to adapt to a constantly changing business environment, and therefore, continue to perform effectively; and that can be a source of competitive advantage (London & Beatty, 1993).

360-degree feedback is a tool that can be used for both personnel development and appraisal purposes. However, no system is perfect; and the 360-degree feedback system also has pros and cons. In general it can be said that instead of one person's evaluation, an average of 6 to 10 ten people provides better data for evaluation.

Each organization has different goals, and different strategies to reach those goals. A 360-degree feedback system is recommended for development and appraisal purposes to the organizations that target long-term success. However, like its benefits, all of its shortfalls must be understood. Surveys should be prepared in accordance with the organization's goals, and should not exceed 20 minutes to fill out. To ensure the quality and accuracy of feedback, the anonymity and confidentiality should also be guaranteed to employees.

In addition, it must be clearly understood that, 360-degree feedback is not a magic stick and needs to be supported with other elements of personnel development. Feedback provided to employees without the help of a coach may be problematic. Instead of development, negative reactions, feelings of revenge or fear, or lack of loyalty could be observed throughout the organization. To solve this problem, individuals should be supported by coaches to

develop their IDPs. Follow-up coaching sessions and additional mentoring support also help individuals develop themselves.

Although there are debates on the use of 360-degree feedback for development or appraisal purposes, studies show that 360-degree feedback can be used for both. However, an organization should start using 360-degree for development purposes first, and then smoothly start using it for appraisal.

V. THE ROYAL AUSTRALIAN NAVY'S NEW GENERATION NAVY PROGRAM

A. INTRODUCTION

In April 2009, the Royal Australian Navy (RAN) established a program known as New Generation Navy (NGN). The program was instituted to better serve the needs of officers and sailors to effectively navigate and execute future operating requirements and capabilities. NGN was built on three pillars: 1) culture (behaviors and processes); 2) leadership and ethics; and 3) structure change (New Generation Navy Strategy, 2009, presentation slides). This chapter's main focus is on the leadership development aspect of the NGN program. First, background information on NGN is provided. Second, a review of NGN's leadership development tool known as Lifestyle Inventory 360 (LSI 360) is conducted. Third, results of LSI 360's effect on leadership development are presented. Finally, a chapter summary is presented.

Information for this chapter was obtained from personal communications (face-to-face, telephone, and e-mail) with CAPT Michael Smith, Director, Navy Capability Structures and Guidance, RAN; CMDR Grant Dale, Director, Navy Leadership and Ethics, RAN; and CMDR Roslyn Astfalck, Principal Research Officer, Navy Leadership and Ethics, RAN. The personal communications took place from January 2012 to March 2012. General information about the RAN was obtained from the official RAN website. Additionally,

information about Human Synergistics International (HSI) and its instruments were obtained from the company's website.

B.   THE RAN'S NEW GENERATION NAVY PROGRAM

NGN is a "cultural and leadership renewal program" program adopted by the RAN to: 1) bring about cultural change throughout the Navy; 2) to improve leadership and ethics development of future Navy leaders; 3) and to change the Navy's organizational structure (New Generation Navy, n.d.). The program was initiated in April 2009 by a directive from Chief of Navy, Vice Admiral Russell Harry Crane. NGN was designed with a five-year horizon, to achieve desired cultural change (New Generation Strategy, 2009, presentation slides).

The NGN program was developed in response to several challenges facing the RAN. Among those challenges are: 1) recruiting and retention problems resulting from overworked sailors; 2) misaligned organizational structure that does not provide clear accountability and responsibility for key activities; 3) gaps in the Navy's ability to meet future capability requirements; and 4) increasing pressure to better manage costs and to operate well in a cost-conscious environment (New Generation Navy Strategy, 2009, presentation slides).

C.   ACHIEVING CULTURAL CHANGE

The RAN believes that cultural change is the most important pillar of the NGN program, but the most difficult to achieve (New Generation Navy Strategy, 2009, presentation slides). Achieving cultural change requires

everyone's participation, engagement, and support. In other words, cultural change can only take hold when naval personnel from the highest to the lowest rank drive the change. To that end, workshops are provided to educate sailors on the need for change, and senior leaders are actively promoting the change (Official Website of the Royal Australian Navy, n.d.).

The existing Navy values of Honor, Honesty, Courage, Integrity, and Loyalty were grandfathered and embedded into the NGN program. The values "define what is important to the Navy as a whole and its people individually" (Official Website of the Royal Australian Navy, n.d.). The values serve as symbols of what RAN personnel represent. From those values they derived 10 signature behaviors. Officers and sailors live the Navy values through the 10 signature behaviors. The signature behaviors define the Navy's desired culture – a culture that values and supports naval personnel throughout their lives (while on active duty and after leaving the service); a culture that encourages people to make and execute decisions; and finally, a culture that empowers everyone to contribute to the Navy's mission (Official Website of the Royal Australian Navy, n.d.).

The Navy expects every sailor to live by the Navy values. In so doing, naval personnel will demonstrate attention to three important factors: 1) people; 2) performance; and 3) professionalism. Figure 22 lists the three main factors, 10 signature behaviors for each factor, and specific items that must be observed under each behavior.

Figure 22.   Royal Australian Navy Signature Behaviors

PEOPLE

1. Respect the contribution of every individual
- Recognize the value of each person's contribution to the Navy
- Be respectful of role, experience and background
- Value diversity

2. Promote the wellbeing and development of all Navy people
- Develop Navy people to their full potential
- Know and care for people
- Keep people at the core of all decisions
- Build the team – provide guidance and challenge their abilities

3. Communicate well and regularly
- Keep your team informed
- Be clear, consistent, timely and accurate
- Engage thoughtfully and check for understanding
- Express and receive feedback graciously

PERFORMANCE

4. Challenge and innovate
- Challenge, question and be open to change
- Generate new ideas
- Support creative solutions

5. Be cost conscious
- Understand the cost implications of the decisions you make
- Find solutions that are enduring, efficient and add value
- Use it like you own it

6. Fix problems, take action
- Seek and accept responsibility
- Take ownership of what you say you will do
- Turn your ideas into actions
- Be a part of an effective solution

7. Drive decision making down

• Make sound, timely decisions based on principles not just rules • Drive decisions to the appropriate level • Trust and support people to make good decisions
PROFESSIONALISM
8. Strengthen relationships across and beyond Navy • Work together to identify and achieve common purposes and objectives • Build inclusive partnerships • Deliver on Navy's promises, and do it well **9. Be the best I can** • Strive for professional excellence • Know yourself and seek self-improvement • Maintain your personal wellbeing **10. Make Navy proud, make Australia proud** • Lead by example • Value Navy's identity and reputation • Live Navy's values

Source: Official Website of the Royal Australian Navy

1.   **The Need for Values and Signature Behaviors in the RAN**

The Navy values guide each sailor's behavior – they define how sailors treat each other and what is important to them. The Navy values are what bind each sailor in the RAN together. They are a source of strength and moral courage to take action, including unpopular ones. Specifically, the values clarify:

• What the Navy collectively stands for and what brings Navy's people together

• What is important to the Navy and therefore what all RAN personnel should jointly work towards

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- What is considered acceptable or unacceptable in the Navy environment

- How to act and interact with others, whether it is other shipmates, colleagues, superiors, subordinates, defense partners or the broader community

- What RAN personnel can reasonably expect of others, and what others will expect of RAN personnel

- How to make principles-based decisions rather than needing a rule for every situation (Official Website of the Royal Australian Navy, n.d.).

The signature behaviors are important to the Navy's culture. The behaviors describe how naval personnel can live the Navy values "in a more tangible way." By living the Navy values and applying the signature behaviors, officers and sailors can derive "a sense of pride, achievement, fulfillment and personal satisfaction" (Official Website of the Royal Australian Navy, n.d.).

2. Culture Inventory

The RAN partnered with Human Synergistics International (HSI) in 2009 to provide the resources needed to achieve the desired culture in the Navy. HSI is an organization that provides tools and consulting services to help "organizations enhance their effectiveness through a focus on culture change, leadership development and team building" (Official Website of Human Synergistics International, n.d.). Among HSI's culture inventory and leadership development instruments are the Organizational Culture Inventory (OCI) and the Organizational Effectiveness Inventory (OEI).

Working with the RAN, HSI used its OCI to help identify RAN's culture. The "OCI provides organizations with a visual profile of their operating cultures (current culture) in terms of the behaviors that members believe are required to 'fit-in and meet expectations.' Such expectations guide the way they approach their work and interact with each other. In turn, these behavioral norms affect the organization's ability to solve problems, adapt to change, and perform effectively" (Official Website of Human Synergistics International, n.d.).

HSI also uses a special version of the OCI known as "OCI-Ideal" that allowed RAN's leadership to identify, quantify, and communicate RAN's desired culture. The desired culture identified by RAN leaders serves as a "benchmark against which the actual organizational culture can be compared. Together, these profiles provide a visual gap analysis, and provide targets for cultural change and a foundation for identifying the appropriate levers for effecting this change" (Official Website of Human Synergistics International, n.d.).

In addition to the OCI, HSI used the OEI to verify and ensure that the organizational factors measured by the OCI are indeed accurate. In other words, the OEI serves as a complement to the OCI, with additional features that assess specific internal factors affecting organizational effectiveness. Once identified, the Navy's organizational culture is plotted on the Circumplex. The Circumplex is a graphical representation that depicts 12 styles of thinking, behaving and interacting that form the foundation of organizational performance. Results of the OCI and OEI

"are presented for 12 behavioral norms grouped into three types of cultures - constructive, passive/defensive, and aggressive/defensive" (Official Website of Human Synergistics International, n.d.). Figure 23 below depicts how results of the culture inventory are plotted on the Circumplex.

Figure 23.   Culture Inventory Schema
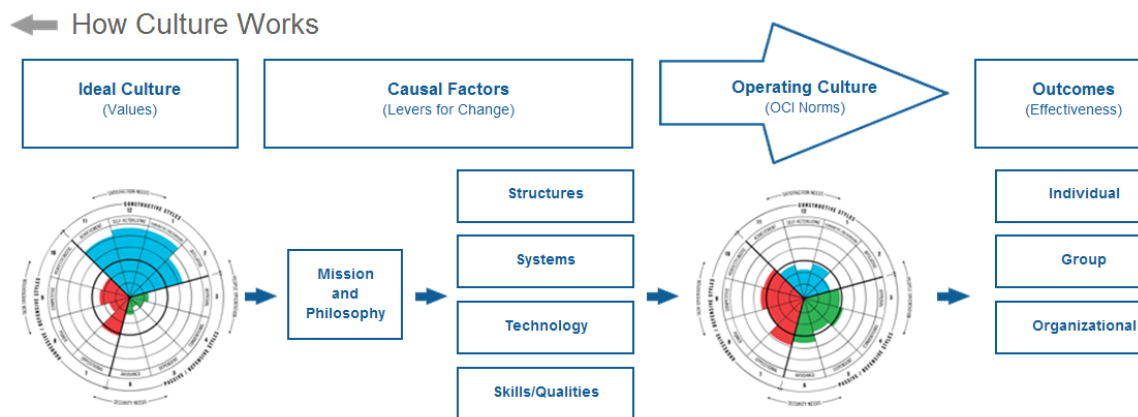
Source: Official Website of the Human Synergistics International

The Circumplex was originally developed in 1971 by Dr. J. Clayton Lafferty as a quantitative human behavior measurement tool (Official Website of Human Synergistics International, n.d.). It groups 12 different behaviors under three behavioral styles in a clock format as shown in Figure 24. Those three behavioral styles are constructive, passive/defensive, and aggressive/defensive.

Figure 24.　The Circumplex
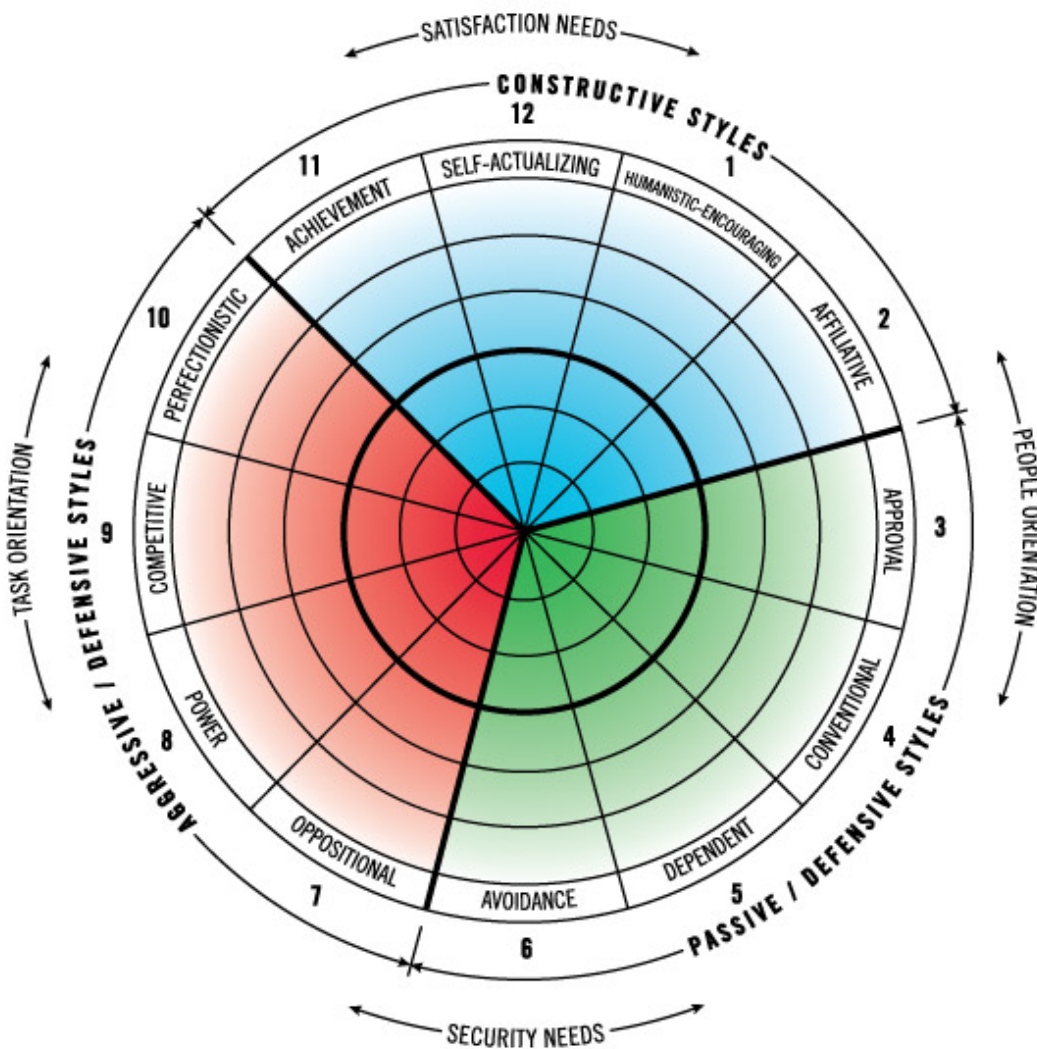
a.　Constructive Style (Blue) Behaviors

The Circumplex groups four behaviors as constructive and places them from 11 o'clock to 2 o'clock. Constructive style behaviors aim to reach success by developing people, and creating synergy. See Appendix F for behaviors observed under this style.

b. *Passive/Defensive (Green) Behaviors*

The Circumplex groups four behaviors as passive/defensive and places them from 3 o'clock to 6 o'clock. Passive/defensive style behaviors rise from the feel of insecurity. People who are high in this style may work hard, but their behavior may cause stagnation throughout the organization. See Appendix G for behaviors observed under this style.

c. *Aggressive/Defensive (Red) Behaviors*

The Circumplex groups four behaviors as aggressive/defensive and places them from 7 o'clock to 10 o'clock. Aggressive/defensive style behaviors rise from the feel of insecurity and seeing tasks more important than individual's needs. People who are high in this style may cause stress and conflict. See Appendix H for behaviors observed under this style.

3. Cultural Change Foundations

The next step in the Navy's cultural change initiative was to identify elements on which to build a foundation to achieve desired culture. The Navy identified what it calls "four themes" for that purpose: 1) Lead; 2) Raise; 3) Train; and 4) Sustain. Figure 25 below list the four themes and targeted items the Navy hopes to address and improve upon.

Figure 25.   Culture Change Themes

LEAD

• Embed signature behaviors and align with Navy values. • Align promotion and advancement of leaders with NGN. • Improve collaboration with other defense and government groups and services. • Reshape divisional system. • Modernize our customs and strengthen Navy heritage. • Strengthen strategic alignment and communication.
RAISE
• Improve responsiveness to those re-joining Navy. • Recruit more people, send them to sea earlier. • Ensure participation in Navy reflects Australian diversity.
TRAIN
• Reform category training and job roles. • Continue Plan Train initiatives. • Manage careers more flexibly.
SUSTAIN
• Deliver people focused work practices. • Implement Submarine Sustainability Review recommendations. • Provide supportive employment conditions and increase family connection. • Review financial employment conditions. • Improve equipment management for long term performance.

Source: New Generation Navy Strategy (2009)

D.   DEVELOPING LEADERSHIP AND ETHICS

Leadership development is one of the New Generation Navy's pillars. The Navy wants leaders who consistently display moral courage, act and behave ethically, and are able to balance performance and people in a professional

manner. They also seek leaders who are loyal and able to influence decisions across the Navy and beyond and leaders who are self-aware and who can adapt their leadership style to suit the circumstances. (Official Website of the Royal Australian Navy, n.d.). It is the Navy's desire that every sailor and Navy-affiliated civilian perform at their highest level. HSI used its multi-level instrument known as Integrated Diagnostic System (IDS) to measure human performance and to identify areas for possible development. IDS allows the RAN to establish programs that can address specific needs at the individual, group, or organizational levels. One of the programs the RAN implemented to better develop its leaders is a personnel development tool known as Lifestyle Inventory 360 (LSI 360). LSI 360 is a form of 360-degree feedback.

1. Lifestyle Inventory (LSI)

Success at work is usually the result of an individual's decisions and actions, or in some cases, inactions. Major factors driving an individual's actions and decisions include behaviors, beliefs, cultural norms, and thinking styles. LSI is a tool that measures personal effectiveness through feedback, describes an individual's thinking, and denotes differences between how you view yourself and how others view you. LSI results are plotted on the Circumplex (Figure 24 above), a quantitative behavior measurement tool normed against 14,000 people (Official Website of Human Synergistics International, n.d.). The LSI system consists of two different inventories: LSI 1 and LSI 2.

2. Lifestyle Inventory-1 and Lifestyle Inventory-2

The Lifestyle Inventory-1 (LSI-1) is an individual's self-evaluation, using a 240-item questionnaire. The 240 items are divided into 12 categories, corresponding to 12 behavior styles. Raters are asked 20 questions for each behavior style. The survey takes approximately 40 minutes, on average, to complete. (R. Astfalck, personal communication, March 17, 2012)

The Lifestyle Inventory-2 (LSI-2) contains the same information as LSI-1. However, LSI-2 is completed by an individual's superiors, peers, and subordinates. As with LSI-1, LSI-2 also takes on average, 40 minutes to complete. The five steps of LSI-1 and LSI-2 are:

- Ratees respond to the 240 items on LSI-1

- Self-results are plotted on a Circumplex to help the ratee see how he thinks and behaves in terms of 12 styles

- Ratees select up to eight trusted raters to evaluate them, using the 240 items on the LSI-2 survey

- The raters' answers are then combined, to allow ratees to see how they are collectively perceived

- By comparing the self- and others' views, ratees can see the perceptional differences (R. Astfalck, e-mail, March 18, 2012

Figure 26 illustrates possible differences between one's self perceptions and how one may be viewed by others. The results can highlight areas where an individual may need improvement. However, the individual receiving the feedback must first accept the results as valid.

Figure 26.   Self-Rating and Others' Ratings

The LSI 1 Circumplex
How I see myself

The LSI 2 Circumplex
How others see me
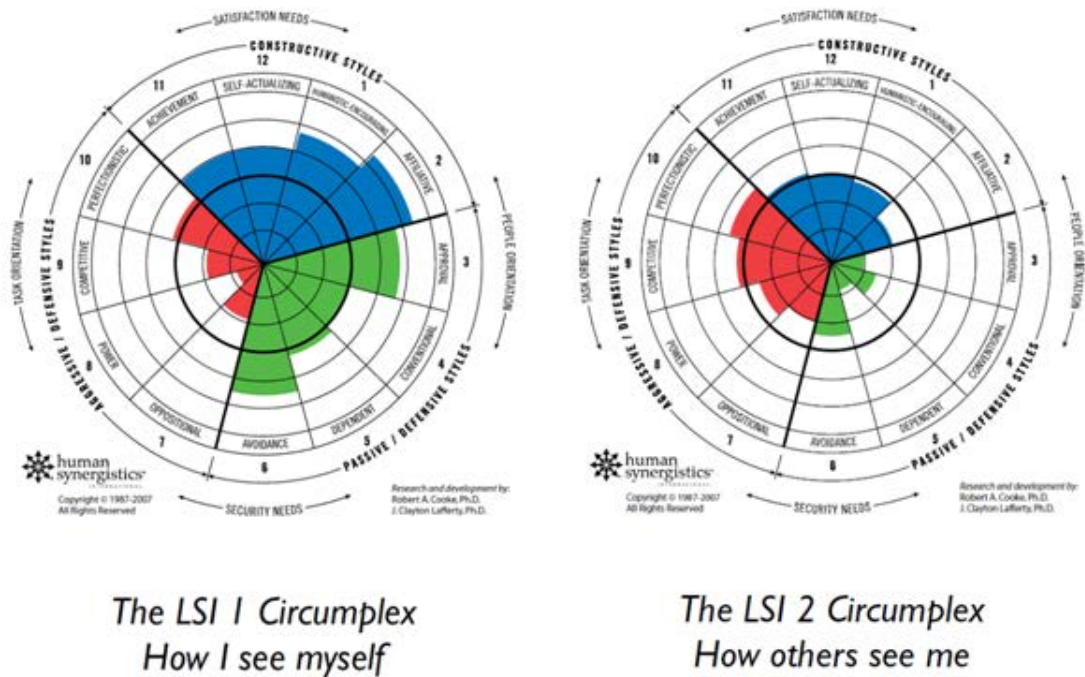
Source: Official Website of the Royal Australian Navy

3.   Navy Leadership Development Workshops

The Directorate of Navy Leadership and Ethics (DNLE) creates and delivers Navy Leadership Development Workshops (NLDWs) for senior sailors and officers. DNLE also develops new modules for junior officer leadership and junior sailor promotion courses. The command was established in July 2011 and maintains a strong link with the New Generation Navy program (Official Website of the Royal Australian Navy, n.d.). All senior Navy leaders are required to complete a NLDW. Although NLDWs are designed only for senior officers and sailors, the DNLE offers one- and two-day leadership courses to junior officers and sailors.

Beginning January 2013, senior leaders will be required to complete NLDW as a condition for promotion. The

requirements will apply to Captains (CAPT), Commanders (CMDR), Lieutenant Commanders (LCDR), Warrant Officers (WO), and Chief Petty Officers (CPO). In addition to the initial workshop, CAPTs, CMDRs, LCDRs, WOs, and CPOs will be required to complete a NLDW every three years (Official Website of the Royal Australian Navy, n.d.). See Appendix I for the Royal Australian Navy's rank structure.

The NLDWs are optional for naval reservists. However, naval reservists are highly encouraged to attend. The Navy also offers leadership workshops to its Executive Level 1 (EL1) and Executive Level 2 (EL2) employees (EL1 and EL2 civilian employees correspond to the ranks of CMDR and CAPT respectively, in the Royal Australian Navy). NLDWs are three-day workshops and a component of it is the LSI-360 surveys.

Before attending the workshop, senior leaders nominate superiors, peers, and subordinates to complete the LSI-2 survey on their behalf. The nominations are forwarded to HSI. HSI informs each nominee and advises them on how to complete the survey. The surveys are then compiled and plotted on the Circumplex for each senior leader. Survey results are debriefed during NLDWs. DNLE offers participants a package of six one-on-one executive coaching sessions after the workshop. Participants also attend a one-day follow-up forum several months after attending the NLDW. From October 2009 to December 2011, more than 100 three-day workshops were delivered, with about 1,800 people completing the LSI 360. Additionally, 100 one- and two-day workshops were delivered to 2,300 junior sailors and officers (D. Grant, e-mail, February 29, 2012).

5. Navy Leadership Coaching Program

Coaching is a key component of the Royal Australian Navy's LSI 360 program. The Navy delivers leadership coaching through the Navy Leadership Coaching Program (NLCP). NLCP objectives are: 1) to assist officers and senior sailors improve their leadership effectiveness; 2) to develop Navy leaders who lead by example in living the Navy's values and signature behaviors; and 3) to develop a coaching culture within the Navy (Marskell, 2011).

Over the past seven years, the Directorate of Strategic Personnel Policy Research (DSPPR) has conducted eight evaluation surveys of various formal coaching programs to measure the true impact of coaching in the Royal Australian Navy. Previous evaluation surveys have shown that the coaching programs were having positive impacts (Marskell, 2011). Specifically, the surveys revealed that several naval officers who were considering leaving the Navy chose to stay because of their participation in the coaching program, suggesting that the previous coaching programs "resulted in recruitment and training cost savings by promoting improved retention among Navy officers" (Marskell, 2011).

The most recent NLCP evaluation was conducted between October 2010 and June 2011. The evaluation survey's aim was to provide reliable, valid and accurate results to determine the effectiveness of the coaching program – to ensure the program achieves its objectives and contributes to the Chief of Navy's overall objectives for the New Generation program (Marskell, 2011). Only personnel who attended at least three coaching sessions were asked to

complete an evaluation survey. "Overall, 58 (90.6 %) of the 64 participants completed and returned their survey in time for analysis." Of the 58 surveys, 55 were used in the study because three returned surveys contained no data and were excluded from the analysis. Results of the study were as follows:

- Over 92.7% of people surveyed indicated that the coaching sessions were useful. 34.5% of people said the NLCP fully met their expectations, and 38.2% said the NLCP exceeded their expectations.

- 74.1% of respondents rated the overall value of coaching as very good. The lowest rating for overall value was good.

- 98.1% of the participant would recommend coaching sessions to others.

- 59.2% of the participants said coaching helped them make desired changes to their leadership style fully or to a large extent.

- 83.3% of the participants said they did not have any difficulty in meeting their coaches, while 16.7% said they had difficulties because of: 1) operational tempo; 2) lack of time; and 3) geographical location (Marskell, 2011).

The results above suggest that NLCP is successful. However, the survey provided suggestions on areas for improvements. For example, the study recommended

introducing regional coaches to increase face-to-face contact with participants, and extending access to junior officers and sailors.

Leadership coaching helps individuals turn what they learn into action in the workplace. Leadership coaching is

delivered during and after NLDWs. Each workshop participant receives a minimum three and a maximum ten one-on-one sessions with a coach. The program coaches are "responsible for contacting each successful participant of the coaching workshops in order to offer assistance with implementing their Personal Action Plans (PAPs) developed in the workshops" (Marskell, 2011).

The Royal Australian believes investing in coaching is a wise choice because coaching offers many direct and indirect benefits. Direct benefits include: 1) having access to someone outside of the military environment; 2) Increasing skills development; 3) gaining career planning skills; 4) having accelerated goal achievement; and 5) increasing in confidence and motivation. Indirect benefits include: 1) instilling coaching culture into Navy; 2) increased retention; 3) increased re-joining the Navy; highlighting the Navy as an "employer of choice" (Marskell, 2011).

6.   Navy Mentoring Training Program

The Royal Australian Navy identifies mentoring as an essential part of leadership development. The Navy Mentoring Training Program was developed to ensure mentoring relationships become an integral part of leadership reinforcement in the Navy. The Chief of Navy also intends to use mentoring as a tool to assist with the overall cultural change that is part of the greater New Generation Navy effort (Official Website of the Royal Australian Navy, n.d.).

The Navy Mentoring Training Team coordinates the Navy's mentoring program, and is responsible for developing

a Navy Mentoring Framework and delivering mentor workshops across the Navy. The Navy provides interactive workshops and gives every attendee the opportunity to conduct a mentoring session under the guidance of trained mentors. This effort allows people to gain the experience of both being mentored and being a mentor. Mentor training is also provided to officers and sailors in specific primary qualifications (PQs) and categories. The goal "is to ensure that all PQs and categories have trained mentors who are able to model mentoring behaviors and develop mentoring relationships both within their own PQ and community, as well as across the wider Navy community" (Official Website of the Royal Australian Navy, n.d.).

Mentoring skills training workshops are provided in all promotion courses and to people in pivotal positions (e.g., department heads, directors, and other executives). In addition, mentoring familiarization training is provided to new entrants (officers and sailors). The Navy is currently in the process of developing a "mentoring for women," program to be complemented by a "mentoring for men leading women" program (R. Astfalck, e-mail, March 18, 2012). These programs will attempt to rectify the one-size-fits approach to men and women mentoring.

E.   SUMMARY

The Royal Australian Navy implemented a program known as New Generation Navy in April 2009. The program was built on three pillars: 1) culture (behaviors and processes); 2) leadership and ethics; and 3) structure change (New Generation Navy Strategy, 2009, presentation slides). The NGN program was initiated to address recruiting and

retention problems facing the Navy, to better align the Navy's organizational structure, and to ensure the Navy is capable of meeting future capability requirements in a cost-conscious era.

A central pillar of the New Generation Navy program is leadership development. The Navy uses a form of 360-degree feedback known as Lifestyle Inventory 360 (LSI 360) in the development of senior officers and sailors. LSI 360 surveys are compiled on senior officers and sailors who are approved to attend the Navy's leadership workshops. Participants are debriefed during the workshops and are offered a package of six one-on-one sessions with a coach. Several evaluations of the coaching program have shown it to be effective (Marskell, 2011). In addition to coaching, naval leaders are assigned mentors to guide them throughout their career. The success of the New General Navy program's implementation can be attributed to pre-implementation education and training and, most importantly, the advocacy for the program by senior Navy leadership.

The Royal Australian Navy recently conducted an evaluation of the New Generation Navy program, and initial results have shown incremental positive changes to the Navy's culture and other initiatives such as leadership development. Specifically, the data shows positive shifts in all four Constructive behavioral styles and a decrease in all eight Defensive behavioral styles. The data also shows a decrease in Aggressive/Defensive style of Perfectionist behavior. The results suggest that the New Generation Navy and associated initiatives, including the

leadership development program, are having desired effects (D. Grant, e-mail, February 29, 2012).

The Royal Australian Navy has received overwhelmingly positive feedback from the LSI 360 program's participants (D. Grant, e-mail, February 29, 2012). The Navy is convinced that the program is worth the investment and is already moving forward with making the LSI 360 program a stand-alone activity. The next chapter will present the thesis summary, conclusions, and recommendations for 360-degree feedback implementation in the U.S. Navy, based on initial success from the Royal Australian Navy's LSI 360 program.

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VI. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

This chapter discusses conclusions, provides recommendations, and highlights areas for further study. Chapter I provided a brief overview of employee development and the use of 360-degree feedback in the civilian sector and in military organizations. Chapter II presented background information on the Navy's personal and professional development program. Chapter III gave general information on 360-degree feedback, and the U.S. Army and Navy's 360-degree feedback initiatives. Chapter IV provided a literature review of employee development and 360-degree feedback. Chapter V presented information on 360-degree feedback implementation in the Royal Australian Navy.

A.   SUMMARY

The objectives of this thesis were as follows: 1) to examine the Navy's personal and professional development program; 2) to review the Royal Australian Navy's LSI 360 program as one possible model for implementing 360-degree feedback in the U.S. Navy; and 3) to make recommendations about possible changes to the U.S. Navy's personal and professional development program. Implementing any new program requires careful considerations. Among those considerations are: 1) why the new program is needed; 2) how much it is going to cost; and 3) what are the possible benefits.

1. **The U.S. Navy's Personal and Professional Development Program**

Centuries ago, nations armed their men with similar weapons. However, militaries with stronger, better trained soldiers that applied superior tactics usually emerged victorious. Today the situation is no different. Countries build battleships, submarines, battle tanks, and jet fighters. However, the decisive factor in wars is still military personnel and their training and education. Aiming to be a "Global Force for Good," the U.S. Navy seeks to be the strongest Navy on earth. On the other hand, as it uses the funds allocated by Congress, the Navy has responsibilities to the Congress and its tax-payers to use its funds as efficiently as possible.

Just like the weapons on the battlefield, the instruments to develop people have evolved over time. While in the 19th century employees were seen as "incapable of understanding what they were doing," in today's organizations they are viewed as the most valuable asset. The Navy recognized this reality in the 1960s and established leadership training curricula in the 1970s. By establishing several commands and initiating different programs, the Navy shows it values further training and education.

The Navy's effort to develop people includes not only improving training techniques but also making structural changes. Naval Education and Training Command (NETC) controls training activities for the Navy. To use its capabilities efficiently, NETC has subcommands. The Center for Personal and Professional Development (CPPD), as a

subcommand of NETC, was established in 2002 to ensure leadership training and personal and professional development of naval personnel. In 2008, CPPD merged with the Center for Naval Leadership (CNL) to increase training efficiency. Today, CPPD is directly responsible for all leadership training and personal and professional development of naval personnel. CPPD provides training and education to individuals at different ranks and positions, thus the Navy efficiently provides extensive development for its personnel (Official Website of the Center for Personal and Professional Development, n.d.).

2.   U.S. Navy's Experiences with 360-Degree Feedback

To improve the capabilities of personnel, military and civilian organizations use different tools. One of the most recent tools created for personnel development is the 360-degree feedback system. Although introduced in the 1950s, 360-degree feedback was quickly adopted by many organizations, and by the mid-1990s, 90% of Fortune 500 companies had begun implementing it (London & Smither 1995).

While the U.S. military was the nation's pioneer in social life, such as employing women and giving equal rights to Blacks, it lagged behind the private sector in terms of implementing a 360-degree feedback system. The Army was the first military branch to launch 360-degree feedback pilot programs in the mid-1990s. The Army recently implemented a 360-degree feedback program known as Multi-Source Assessment and Feedback (MSAF-360).

In 2002, the Navy began using 360-degree feedback for developing flag officers and senior executives attending

the NFLEX program. Later, the Navy launched its second 360-degree feedback program to support senior officers and GS-15 civilians under the program Navy Senior Leadership Seminar (NSLS). Other 360-degree feedback programs were initiated for department heads and division officers at the Surface Warfare Officer School (SWOS), for prospective COs, XOs, COBs, CMCs and SCPOs at Command Leadership School, and a pilot program called System Measures, Assesses, and Recommends Tailored Solutions (SMARTS-360) for officers and enlistees stationed at selected group of sea and shore units. Today, 360-degree feedback initiatives continue as part of NFLEX and at the Surface Warfare Officer School (SWOS), while others were discontinued due to budget cuts.

Crawford and Stoker (2009) evaluated the return on investment (ROI) for the NSLS program at the Naval Postgraduate School. In interviews conducted during the course of the evaluation, participants revealed that 360-degree feedback helped them increase their self-awareness and motivated them to change. In addition, participants indicated that NSLS had a lasting positive impact on them. Although Crawford and Stoker's 2009 evaluation of the program clearly identified benefits to participants, the Navy discontinued it due to financial reasons.

The Navy invests heavily in the development of naval personnel by providing leadership training to officers and sailors, and encouraging leaders to participate in leadership symposia and seminars. The Navy also makes personal development courses available to naval personnel. However, the only way the Navy measures leadership development is through Fitness Reports (for officers) and

Counseling and evaluations (for enlisted). These top-down evaluation methods contain only the viewpoint of the supervisor. The Navy understands the need to move away from a top-down feedback system, towards a more comprehensive system. In this vain, the Navy has undertaken several initiatives using 360-degree feedback. Evaluations of these initiatives have proven that they are effective but the Navy has yet to fully implement a 360-degree feedback system.

3. Applicability of the Royal Australian Navy's LSI 360 Program to the U.S. Navy's environment

The Royal Australian Navy's LSI 360 program is part of its overall New Generation Navy effort. The Royal Australian Navy uses LSI 360 as a leadership development tool for senior sailors such as Warrant Officers (WOs) and Chief Petty Officers (CPOs), and for officers in the rank of Lieutenant Commander (LCDR), Commander (CMDR), and Captain (CAPT). The program is also available to Executive Level 1 (EL1) and Executive Level 2 (EL2) civilian employees.

In analyzing the Royal Australian Navy's LSI 360 program's applicability to the U.S. Navy, several factors must be considered. First, the Royal Australian Navy and the U.S. Navy are organized differently and have different cultures. Second, there are disparities in the size of the two Navies—the U.S. Navy is several times larger than the Royal Australian Navy. Finally, all military services in Australia are managed jointly by the Australian Defense Forces. All of those factors are reasons why an effective program in the Royal Australian Navy may not fit neatly in

the U.S. Navy's environment. However, there are aspects of the Royal Australian Navy's LSI 360 program that could be implemented in a U.S. Navy 360-degree feedback program.

The Royal Australian Navy's LSI 360 program is not much different from other 360-degree feedback initiatives introduced by the U.S. Navy at various training programs like NSLS and NFLEX. The LSI 360 program gathers feedback from superiors, peers, and subordinates and provides leaders with a snapshot of how others view them. In the Royal Australian Navy, results of the LSI 360 are plotted and leaders are then debriefed with coaching sessions provided to assist them in understanding the feedback and help them complete a Personal Action Plan (PAP). However, the Royal Australian Navy's coaching program and frequency of leadership workshop participation are much different from the U.S. Navy.

When U.S. Navy leaders attended the NSLS or the NFLEX, for example, they participated in coaching sessions; however, no follow-on coaching sessions were provided. The Royal Australian Navy, on the other hand, makes coaches available to Naval Leadership Development Workshop (NLDW) participants during and after they leave the Navy Leadership Development Workshop (NLDW). In fact, participants are paired with a coach by The Navy Leadership Coaching Program Manager and receive multiple one-on-one coaching sessions (Marskell, 2011).

Coaches and participants meet at approximately two- to three-week intervals, based on the needs of each individual (Official Website of the Royal Australian Navy, n.d.). Coaching sessions are usually conducted face-to-face,

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except in cases where the coach is not located in the same area as the participant. In that case, coaching sessions can be conducted over the phone. The first coaching session is always conducted face-to-face (Official Website of the Royal Australian Navy, n.d.).

Multiple and subsequent coaching sessions are important because it makes the leadership development process a continuing effort. It ensures that leaders follow through with the PAP developed during the workshop. However, what an individual gets out of the coaching program depends on the amount of effort he puts into it. Coaching sessions between a coach and a program participant are strictly confidential.

The Royal Australian Navy has conducted evaluation surveys to measure the impact of its coaching program on individuals, and on the Royal Australian Navy in general. Evaluations have shown that the coaching program is very effective (Marskell, 2011). The Royal Australian Navy established a research program to identify and quantify changes to the Royal Australian Navy's culture, leadership development, and structural change initiatives. Full results of the study have not been approved for release. However, initial results have shown incremental positive changes to the Royal Australian Navy's culture and other initiatives, such as leadership development (A. Astfalck, personal communication, March 17, 2012).

The LSI 360 program evaluation shows incremental improvements in participants' behavioral styles. However, the improvements cannot be attributed solely to the LSI 360 program because LSI 360 is simply one part of the New

Generation Navy's larger effort (A. Astfalck, personal communication, March 17, 2012). Although the LSI 360 program is one of the pillars of the overall New Generation Navy effort, there are aspects of it that could be implemented in a U.S. Navy 360-degree feedback program. Examples of some good practices include, making coaches available to leaders who participate in leadership development courses during and after the course, and conducting a follow-up forum to review progress from the initial workshop to ensure 360-degree feedback goals set during the initial workshop are being addressed.

B.   RECOMMENDATIONS

The U.S. Navy continues to seek ways to better develop its people. An effective and popular personnel development tool being used by many civilian organizations, the U.S. Army, and the Royal Australian Navy is 360-degree feedback. The Navy conducted a pilot program known as SMARTS-360, based on the 360-degree feedback concept. The program's evaluation by Bowman (2009) indicated that although there were areas for improvement, overall, the program was a success. For example, participants reported being highly satisfied with the program and believed the program would facilitate their development as leaders. Senior leaders, too, reported successful outcomes from their experiences with 360-degree feedback. It is, therefore, recommended that the U.S. Navy implement a Navy-wide 360-degree feedback program.

A Navy-wide 360-degree feedback program would remove the need for several small, unrelated, and uncoordinated 360-degree feedback initiatives. It would put 360-degree

feedback under one umbrella—the Center for Personal and Professional Development. The 360-degree feedback program would require explicit support and advocacy from the senior Navy leadership. The 360-degree feedback program should be applied to enlisted personnel in ranks E7 to E9, all warrant officers, and officers in grades O3 and above. Initial feedback surveys should be conducted at the commencement of the program, irrespective of whether or not a member is attending a course, seminar, or symposium. Subsequent feedback surveys should be conducted every 3 years thereafter.

In addition, the Navy should execute a Navy-wide program to educate officers and sailors about the 360-degree feedback program before implementation. The 360-degree feedback pre-implementation training should apply to all hands. Personnel not targeted in the 360-degree feedback program need to know about the process, its intent, and its basic fundamentals. It is important to educate junior personnel as well because their superiors may select them as raters for 360-degree feedback surveys. Knowledge of the program may motivate junior sailors and officers to take the time to complete the survey, help them provide better feedback, and expose them to the process early in their career.

Coaching should be made an essential part of the 360-degree feedback program; therefore, it is recommended that a coaching program be established. Coaches will help 360-degree recipients interpret the results, assist them in developing an Individual Development Plan (IDP), and help them devise strategies to address the IDP's content. The

Navy should provide 360-degree feedback recipients the opportunity to participate in multiple feedback sessions. Coaches should be qualified professionals (active duty, reservist, or civilian). Hiring civilians as professional coaches would be very expensive. However, based on successful results of the Royal Australian Navy's coaching program, as indicated in chapter five, it would be money well spent.

During the initial feedback session, the feedback recipient and the coach should establish the number of coaching sessions required to address items on the IDP, based on each individual's need. In any case, each 360-degree feedback recipient should participate in a follow-up coaching session six months from the initial feedback debriefing. The six-month follow-up session will reinforce the development process by ensuring 360-degree feedback goals set during the initial coaching session are being addressed.

The first feedback session should be conducted face-to-face. Subsequent coaching sessions may be conducted face-to-face, via e-mail, over the telephone, via Skype, or by any other means available. The Navy should make every effort to pair members with local coaches. A 360-degree feedback survey should be conducted every three years thereafter and follow the same process indicated above.

Another recommendation is that a minimum of 3 supervisors, 5 peers, and 5 subordinates be assigned as raters. Furthermore, rating scales should be developed in a way that would not allow raters to select a neutral rating. Finally, the survey must be clear and precise enough for

its intended audience. Five survey templates are recommended—one for E7 to E9, one for warrant officers, one for O3 and O4, one for O5 and O6, and one for flag officers.

Bowman's (2009) study emphasized the importance of the program's survey. While 624 personnel took the 360-degree feedback survey, only 128 of them provided valid answers. Approximately 80 percent of the answers were excluded from statistical analyses due to missing values caused by: 1) irrelevant survey questions; 2) raters' failure to rate participants; and 3) the 7-item Likert scale provided raters with a "N/A" option. The Navy's NFLEX and NSLS programs, on the other hand, used surveys custom designed for Navy use and these problems did not exist. Any future 360-degree feedback surveys used by the Navy must be of this quality.

Surveys should be completed electronically. The average rater should be able to complete the survey in approximately 20 minutes. The Navy should dedicate a website to the 360-degree feedback program (the Army's MSAF-360 website could serve as a model). However, the Navy's 360-degree feedback website should be accessible via the Navy Knowledge Online (NKO) portal, similar to the e-learning website. Once all of the surveys are received, the system should be able to populate an Individual Feedback Report. The system should then automatically forward a copy of the IFR to the participant's coach. Once received, the coach will contact the participant to schedule the initial feedback session. Above all, 360-degree feedback survey

results and discussions between the coach and 360-degree recipients must remain confidential.

C. CONCLUSION

The argument to move from a traditional top-down feedback system to 360-degree feedback stems from the premise that a multi-source feedback is more comprehensive because not only do participants receive feedback from superiors, but also from peers and subordinates. 360-degree feedback does not remove traditional supervisor-provided feedback, it adds two other sources of feedback: peers and subordinates. Feedback from peers and subordinates may be beneficial because peers and subordinates may convey information that a supervisor-only feedback might have missed. Researches have been looking at the reliability and effectiveness of 360-degree feedback and found it to be a good development tool (Garavan et al., 1997; Brett & Atwater, 2001; Maylett, 2009).

Implementing a 360-degree feedback program would require substantial financial investment from the Navy. For example, the Navy would need to invest in training, survey development, website development, and most importantly, investment in professional coaches. Indirect costs include the time supervisors, peers, and subordinates would spend completing 360-degree feedback surveys, which could greatly impact personnel assigned to operational duties.

Despite the investment needed to implement a 360-degree feedback program, the benefits over time would outweigh the costs. Personnel are the most important asset to the Navy. The Navy needs well-developed leaders who can navigate current and future challenges. The Navy has

already proven how much it values leadership development by the number of leadership training opportunities it makes available to sailors and officers. The investment in 360-degree feedback would enhance the Navy's tradition of producing great leaders.

D.   RECOMMENDATIONS FOR FURTHER RESEARCH

The recommendations provided in this thesis are based mostly on existing good practices of 360-degree feedback in the U.S. Army, the Royal Australian Navy, as well as prior or ongoing 360-degree feedback initiatives in the U.S. Navy. This thesis is not all encompassing; therefore, further research should be conducted to explore cost effective means of implementing the recommendations made herein.

The U.S. Army's MSAF-360 program is relatively new. The Army recently announced the requirement for officers to indicate on their Officer Evaluation Report (OER), whether or not they have completed or initiated an MSAF within the last three years, and prohibited reporting seniors from using results of the MSAF completion (or lack thereof) on officers' career (assignment, promotion). Further research should be conducted to determine the effect of 360-degree feedback on retention and performance in the military.

Finally, a cost-effectiveness analysis should be conducted to evaluate the costs and benefits of training senior active duty and reserve personnel to serve as coaches versus hiring civilian coaches. The decision to choose between training senior active duty and reserve personnel to serve as coaches versus hiring civilian coaches should not be based solely on costs (as is usually

the main focus). Other aspects of effectiveness (e.g., participants' satisfaction, long-term organizational impact) should also be taken into account.

APPENDIX A. FITNESS REPORT & COUNSELING RECORD

(O7/O8)

FITNESS REPORT & COUNSELING RECORD (07/08)   RCS BUPERS 1610-1

1. Name (Last, First MI Suffix)			2. Grade	3. Desig	4. SSN

5. ACT RES ☐ ☐	6. UIC	7. Command		8. Promotion Status	9. Date Reported

Occasion for Report | Period of Report
10. Periodic ☐	11. Detachment Of Individual ☐	12. Detachment Of Reporting Senior ☐	13. Special ☐	14. From	15. To

16. Not Observed Report ☐	Type of Report 17. Regular ☐ 18. Concurrent ☐ 19. Ops CDR ☐	20. Physical Readiness

21. Reporting Senior (Last, FI MI)	22. Grade	23. Desig	24. Title	25. UIC

26. Command Employment And Achievements

27. Primary/Additional Duties Assigned

Flag Officer Development Counseling	28. Date Counseled	29. Counselor	30. Signature of Individual Counseled

PROFESSIONAL PERFORMANCE	NOB	Very Low (1)	Low (2)	Avg (3)	High (4)	Very High (5)	Top Three Traits Select top three traits that create results (place a 1, 2 or 3)
31. Mission Accomplishment	☐	☐	☐	☐	☐	☐	
32. Operational Professional Competence	☐	☐	☐	☐	☐	☐	
33. Vision/Strategic Thinking	☐	☐	☐	☐	☐	☐	
34. Communication Skills	☐	☐	☐	☐	☐	☐	
35. Fiscal Planning/Organizational Skills	☐	☐	☐	☐	☐	☐	
36. Geopolitical Fluency	☐	☐	☐	☐	☐	☐	
37. Military Bearing	☐	☐	☐	☐	☐	☐	
38. Leadership Judgment	☐	☐	☐	☐	☐	☐	
39. Leading Change	☐	☐	☐	☐	☐	☐	

NAVPERS 1610/5 (06-10)   For Official Use Only – Privacy Sensitive   Page 1 of 2

1. Name (Last, First MI Suffix)		2. Grade	3. Desig	4. SSN		

POTENTIAL TRAITS	NOB	Very Low (1)	Low (2)	Avg (3)	High (4)	Very High (5)
40. Fiscal Planning/Organizational Skills	☐	☐	☐	☐	☐	☐
41. Personal Growth	☐	☐	☐	☐	☐	☐
42. Professional Growth	☐	☐	☐	☐	☐	☐
43. Potential Leading Change	☐	☐	☐	☐	☐	☐
44. Strategic Thinking	☐	☐	☐	☐	☐	☐

45. Performance Trait Average	Individual	Reporting Senior

46. Future Assignments: I recommend the following assignments for this individual (three):

47. Comments

48. Signature Of Reporting Senior

49. Signature of Individual Evaluated. "I have seen this report, been apprised of my performance, and understand my right to make a statement.

☐ I intend to submit a statement   ☐ I do not intend to submit a statement

50. Typed name, grade, command UIC and signature of Regular Reporting Senior on Concurrent Report

FITNESS REPORT & COUNSELING RECORD   (W2 - O6)

FITNESS REPORT & COUNSELING RECORD   (W2 - O6) (cont 'd)

1. Name (Last, First MI Suffix)		2. Grade/Rate	3. Desig	4. SSN

PERFORMANCE TRAITS	1.0* Below Standards	2.0 Pro-gressing	3.0 Meets Standards	4.0 Above Standards	5.0 Greatly Exceeds Standards
38. **LEADERSHIP:** Organizing, motivating and developing others to accomplish goals.	- Neglects growth/development or welfare of subordinates. - Fails to organize, creates problems for subordinates. - Does not set or achieve goals relevant to command mission and vision. - Lacks ability to cope with or tolerate stress. - Inadequate communicator. - Tolerates hazards or unsafe practices.		- Effectively stimulates growth/development in subordinates. - Organizes successfully, implementing process improvements and efficiencies. - Sets/achieves useful, realistic goals that support command mission. - Performs well in stressful situations. - Clear, timely communicator. - Ensures safety of personnel and equipment.		- Inspiring motivator and trainer, subordinates reach highest level of growth and development. - Superb organizer, great foresight, develops process improvements and efficiencies. - Leadership achievements dramatically further command mission and vision. - Perseveres through the toughest challenges and inspires others. - Exceptional communicator. - Makes subordinates safety-conscious, maintains top safety record. - Constantly improves the personal and professional lives of others.
NOB ☐		☐	☐	☐	☐
39. **TACTICAL PERFORMANCE:** (Warfare qualified officers only) Basic and tactical employment of weapons systems.	- Has difficulty attaining qualifications expected for rank and experience. - Has difficulty in ship(s), aircraft or weapons systems employment. - Below others in knowledge and employment. - Warfare skills in specialty are below standards compared to others of same rank and experience.		- Attains qualifications as required and expected. - Capably employs ship(s), aircraft, or weapons systems. Equal to others in warfare knowledge and employment. - Warfare skills in specialty equal to others of same rank and experience.		- Fully qualified at appropriate level for rank and experience. - Innovatively employs ship(s), aircraft, or weapons systems. Well above others in warfare knowledge and employment. - Warfare skills in specialty exceed others of same rank and experience.
NOB ☐		☐	☐	☐	☐

40. I recommend screening this individual for next career milestone(s) as follows: (Maximum of two)
Recommendations may be for competitive schools or duty assignments such as SCP, Dept Head,
XO, OIC, CO, Major Command, War College, PG School.

41. COMMENTS ON PERFORMANCE. *All 1.0 marks, three 2.0 marks, and 2.0 marks in Block 37 must be specifically substantiated in comments. Comments must be verifiable. Font must be 10 or 12 pitch (10 to 12 point) only. Use upper and lower case.

Full 10 ⌄

Promotion Recommendation	NOB	Significant Problems	Progressing	Promotable	Must Promote	Early Promote	44. Reporting Senior Address
42. **INDIVIDUAL**							
43. **SUMMARY**	✕						

45. Signature of Reporting Senior Date:	46. Signature of individual evaluated. "I have seen this report, been advised of my performance, and understand my right to make a statement." I intend to submit a statement ☐ do not intend to submit a statement ⊓ Date:

Member Trait Average:	0	Summary Group Average:

47. Typed name, grade, command, UIC, and signature of Regular Reporting Senior on Concurrent Report

Date:

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EVALUATION & COUNSELING RECORD (E7 – E9)

Save Form   Clear Form

RCS BUPERS 1610-1

PERFORMANCE TRAITS: 1.0 - Below standards / not progressing or UNSAT in any one standard; 2.0 - Does not yet meet all 3.0 standards; 3.0 - Meets all 3.0 standards; 4.0 - Exceeds most 3.0 standards; 5.0 - Meets overall criteria and most of the specific standards for 5.0. Standards are not all inclusive.

PERFORMANCE TRAITS	1.0 Below Standards	2.0 Progressing	3.0 Meets Standards	4.0 Above Standards	5.0 Greatly Exceeds Standards
DECKPLATE LEADERSHIP					
PROFESSIONAL AND TECHNICAL EXPERTISE					
PROFESSIONALISM					
LOYALTY					

NAVPERS 1616/27 (8-16)   FOR OFFICIAL USE ONLY-PRIVACY ACT SENSITIVE

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EVALUATION & COUNSELING RECORD (E7 – E9) (cont'd)

1. Name (Last, First MI Suffix)		2. Grade/Rate	3. Desig	4. SSN

PERFORMANCE TRAITS	1.0 Below Standards	2.0 Prog. grssing	3.0 Meets Standards	4.0 Above Standards	5.0 Greatly Exceeds Standards
37. **CHARACTER:** Integrity, adherence to Navy Core Values, Recognition of Diversity, Contributes to growth, honest work and community. NOB ☐	- Demonstrates exclusionary behavior, fails to value differences from cultural diversity. - Lacks personal integrity and does not take responsibility for actions or decisions. - Fails to live up to Navy Core Values: Honor, Courage and Commitment. ☐	☐	- Diversity: values differences as strengths, fosters atmosphere of acceptance/inclusion per EO/EEO policy. - Trustworthy, ethical and honest. - Always lives up to Navy Core Values: Honor, Courage and Commitment. ☐	☐	- Seamlessly integrates diversity into all aspects of the command. - Model of achievement. Develops and enforces by valuing differences as strengths. - Leads with an uncompromising code of integrity. - Exemplifies Navy Core Values: Honor, Courage and Commitment. ☐
38. **ACTIVE COMMUNICATION:** Communicates, questioning attitude, using and information flow. NOB ☐	- Stifles information exchange: idea sharing and diversity of opinion. - Does not take advantage of the Chief's Mess to discuss, plan, or act on command issues. - Poor communicator: actions negatively impact mission goals and readiness. ☐	☐	- Facilitates information exchange, idea sharing and diversity of opinion. - Uses Chief's Mess as an open forum to discuss, plan, and act on command issues. - Effectively communicates and listens to subordinates, peers, and seniors. ☐	☐	- Actively facilitates information exchange: idea sharing and diversity of opinion. - Actively uses Chief's Mess as an open forum to discuss, plan, and act on command issues. - Energizes communication flow up and down the chain of command. ☐
39. **SENSE OF HERITAGE:** Knows and teaches customs and traditions, understand naval history. NOB ☐	- Lacks knowledge and understanding of naval customs and traditions. - Ignores naval traditions, customs, and practices when considering decisions, in training, or in daily leadership. - No grasp of naval history. ☐	☐	- Good understanding of naval customs and traditions. - Integrates naval traditions, customs, and practices into decision making process, training and daily leadership. - Occasionally uses naval history to demonstrate who we are as a service. ☐	☐	- Thorough understanding of naval customs and traditions. - Proactively integrates naval traditions, customs, and practices into decision making process, training and daily leadership. - Consistently uses naval history to demonstrate who we are as a service. ☐

40. I recommend reviewing this individual for next career milestone as follows: (Maximum of two).
Recommendations may be for competitive schools or duty assignments such as: SCPO, DEPT CPO, SEA, CMC.

41. COMMENTS ON PERFORMANCE. *All 1.0 marks, three 2.0 marks, and 2.0 marks in Block 37 must be specifically substantiated in comments. Comments must be verifiable. Font must be blue 12 point (Use 12 point only). Use upper and lower case.

Promotion Recommendation	NOB	Significant Problems	Progressing	Promotable	Must Promote	Early Promote	44. Reporting Senior Address
42. **INDIVIDUAL**							
43. **SUMMARY**	✕						

45. Signature of Reporting Senior	46. Signature of Individual evaluated: "I have seen this report, been appraised of my performance and understand my right to make a statement."
Date	I intend to submit a statement ☐ I do not intend to submit a statement ☐ Date

| Member Trait Average | [ ] | Summary Group Average | |

47. Typed name (print, command UIC, and signature of Regular Reporting Senior on Concurrent Report

Date

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EVALUATION REPORT & COUNSELING RECORD (E1 - E6)

RCS BUPERS 1610-1

1. Name (Last, First MI Suffix)			2. Rate	3. Desig	4. SSN

5. ☐ ACT ☐ FTS ☐ INACT ☐ AT/ADSW/265	6. UIC	7. Ship/Station	8. Promotion Status ☐	9. Date Reported

Occasion for Report				Period of Report	
10. Periodic ☐	11. Detachment of Individual ☐	12. Promotion / Frocking ☐	13. Special ☐	14. From:	15. To:

16. Not Observed Report ☐	Type of Report 17. Regular ☐	18. Concurrent ☐		20. Physical Readiness	21. Billet Subcategory (if any) ☐

22. Reporting Senior (Last, FI MI)	23. Grade	24. Desig	25. Title	26. UIC	27. SSN

28. Command employment and command achievements.

29. Primary/Collateral/Watchstanding duties. (Enter Primary duty abbreviation in box.)

For Mid-term Counseling Use. (When completing EVAL. Enter 30 and 31 from counseling worksheet sign 32.)	30. Date Counseled	31. Counselor	32. Signature of Individual Counseled

PERFORMANCE TRAITS: 1.0 – Below standards / not progressing or UNSAT in any one standard;   2.0 – Does not yet meet all 3.0 standards;   3.0 – Meets all 3.0 standards;   4.0 – Exceeds most 3.0 standards;   5.0 – Meets overall criteria and most of the specific standards for 5.0. Standards are not all inclusive.

PERFORMANCE TRAITS	1.0* Below Standards	2.0 Progressing	3.0 Meets Standards	4.0 Above Standards	5.0 Greatly Exceeds Standards
33. **PROFESSIONAL KNOWLEDGE:** Technical knowledge and practical application.	- Marginal knowledge of rating, specialty or job. - Unable to apply knowledge to solve routine problems. - Fails to meet advancement PQS requirements. NOB ☐	☐	- Strong working knowledge of rating, specialty and job. - Reliably applies knowledge to accomplish tasks. - Meets advancement PQS requirements on time. ☐	☐	- Recognized expert, sought out by all for technical knowledge. - Uses knowledge to solve complex technical problems. - Meets advancement PQS requirements early/with distinction. ☐
34. **QUALITY OF WORK:** Standard of work; value of end product.	- Needs excessive supervision. - Product frequently needs rework. - Wasteful of resources. NOB ☐	☐	- Needs little supervision. - Produces quality work. - Few errors and resulting rework. - Uses resources efficiently. ☐	☐	- Needs no supervision. - Always produces exceptional work. No rework required. - Maximizes resources. ☐
35. **COMMAND OR ORGANIZATIONAL CLIMATE/EQUAL OPPORTUNITY:** Contributing to growth and development, human worth, community.	- Actions counter to Navy's retention/ reenlistment goals. - Uninvolved with mentoring or professional development of subordinates. - Actions counter to good order and discipline and negatively affect Command/ Organizational climate. - Demonstrates exclusionary behavior. - Fails to value differences from cultural diversity. NOB ☐	☐	- Positive leadership supports Navy's increased retention goals. Active in decreasing attrition. - Actions adequately encourage/support subordinates' personal/professional growth. - Demonstrates appreciation for contributions of Navy personnel. Positive influence on Command climate. - Values differences as strength. - Fosters atmosphere of acceptance/ inclusion per EO/EEO policy. ☐	☐	- Measurably contributes to Navy's increased retention and reduced attrition objectives. - Proactive leader/exemplary mentor. - Involved in subordinates' personal development leading to professional growth/ sustained commitment. - Initiates support programs for military, civilian, and families to achieve exceptional Command and Organizational climate. - The model of achievement. - Develops unit cohesion by valuing differences as strengths. ☐
36. **MILITARY BEARING/ CHARACTER:** Appearance, conduct, physical fitness, adherence to Navy Core Values.	- Consistently unsatisfactory appearance. - Poor self control; conduct resulting in disciplinary action. - Unable to meet one or more physical readiness standards. - Fails to live up to one or more Navy Core Values: HONOR, COURAGE, COMMITMENT. NOB ☐	☐	- Excellent personal appearance. - Excellent conduct, conscientiously complies with regulations. - Complies with physical readiness program. - Always lives up to Navy Core Values: HONOR, COURAGE, COMMITMENT. ☐	☐	- Exemplary personal appearance. - Model of conduct, on and off duty. - A leader in physical readiness. - Exemplifies Navy Core Values: HONOR, COURAGE, COMMITMENT. ☐
37. **PERSONAL JOB ACCOMPLISHMENT/ INITIATIVE:** Responsibility, quantity of work.	- Needs prodding to attain qualification or finish job. - Prioritizes poorly. - Avoids responsibility. NOB ☐	☐	- Productive and motivated. - Completes tasks and qualifications fully and on time. - Plans/prioritizes effectively. - Reliable, dependable, willingly accepts responsibility. ☐	☐	- Energetic self-starter. Completes tasks or qualifications early, far better than expected. - Plans/prioritizes wisely and with exceptional foresight. - Seeks extra responsibility and takes on the hardest jobs. ☐

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EVALUATION REPORT & COUNSELING RECORD (E1 - E6) (cont'd)

1. Name (Last, First MI Suffix)		2. Rate	3. Desig	4. SSN

PERFORMANCE TRAITS	1.0* Below Standards	2.0 Progressing	3.0 Meets Standards	4.0 Above Standards	5.0 Greatly Exceeds Standards
38. TEAMWORK: Contributions to team building and team results. NOB ☐	- Creates conflict, unwilling to work with others, puts self above team. - Fails to understand team goals or teamwork techniques. - Does not take direction well. ☐	☐	- Reinforces others' efforts, meets commitments to team. - Understands goals, employs good teamwork techniques. - Accepts and offers team direction. ☐	☐	- Team builder, inspires cooperation and progress. - Focuses goals and techniques for teams. - The best at accepting and offering team direction. ☐
39. LEADERSHIP: Organizing, motivating and developing others to accomplish goals. NOB ☐	- Neglects growth/development or welfare of subordinates. - Fails to organize, creates problems for subordinates. - Does not set or achieve goals relevant to command mission and vision. - Lacks ability to cope with or tolerate stress. - Inadequate communicator. - Tolerates hazards or unsafe practices. ☐	☐	- Effectively stimulates growth/development in subordinates. - Organizes successfully, implementing process improvements and efficiencies. - Sets/achieves useful, realistic goals that support command mission. - Performs well in stressful situations. - Clear, timely communicator. - Ensures safety of personnel and equipment. ☐	☐	- Inspiring motivator and trainer, subordinates reach highest level of growth and development. - Superb organizer, great foresight, develops process improvements and efficiencies. - Leadership achievements dramatically further command mission and vision. - Perseveres through the toughest challenges and inspires others. - Exceptional communicator. - Makes subordinates safety-conscious, maintains top safety record. - Constantly improves the personal and professional lives of others. ☐

40. Individual Trait Average. Total of trait scores divided by number of graded traits. 0	41. I recommend this individual for (maximum of two): Assignment in Rating, Sea Special Programs, Shore Special Programs, Commissioning Programs, Special Warfare Programs, Rating Instructor Duty, Other. (Be specific.)	42. Signature of Rater (Typed Name & Rate): I have evaluated this member against the above performance standards and have forwarded written explanation of marks of 1.0 and 5.0. Date:

43. COMMENTS ON PERFORMANCE. *All 1.0 marks, three 2.0 marks, and 2.0 marks in Block 37 must be specifically substantiated in comments. Comments must be verifiable. Font must be 10 or 12 pitch (10 to 12 point) only. Use upper and lower case.

Font 10 ⌄

44. QUALIFICATIONS/ACHIEVEMENTS - Education, awards, community involvement, etc., during this period.

Promotion Recommendation	NOB	Significant Problems	Progressing	Promotable	Must Promote	Early Promote	47. Retention : Not Recommended ☐ Recommended ☐	
45. INDIVIDUAL.							48. Reporting Senior Address	
46. SUMMARY	☒							

49. Signature of Senior Rater (Typed Name & Grade/Rate): I have reviewed the evaluation of this member against these performance standards and have provided written explanation to support marks of 1.0 and 5.0. Date:	50. Signature of Reporting Senior Date: Summary Group Average:

51. Signature of individual evaluated. "I have seen this report, been apprised of my performance, and understand my right to make a statement." I intend to submit a statement ☐ I do not intend to submit a statement ☐ Date:	52. Typed name, grade, command, UIC, and signature of Regular Reporting Senior on Concurrent Report Date:

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APPENDIX E   STRATEGIC LEADER DEVELOPMENT INVENTORY FACTORS AND ITEMS

SELF FACTORS – POSITIVE

I. Conceptual Flexibility

- Am quick to develop an understanding of complex situations
- Recognize emerging problems quickly
- See the pattern in seemingly unrelated problems
- Am a quick study
- Am able to envision several different scenarios when planning

---

II. Political Sensibility

- Am sensitive to political issues that may affect my own responsibilities
- Am interested in broad political and societal issues
- Accept the fact that politics are a key part of my profession
- Seek knowledge about world political and economic conditions
- Am comfortable dealing with others outside my profession

III. Personal Objectivity

- Stay composed when under personal attack by others
- Deal sensitively with outside interests, which oppose my recommendations
- Maintain objectivity when others are caught up in the heat of the moment
- See all sides of a problem
- Am open-minded

IV. Empowering Subordinates

- Back my subordinates
- Engender enthusiasm in subordinates
- Treat subordinates as valuable team members
- Inspire subordinates to do their best
- Empower others to accomplish their responsibilities

V. Strong Work Ethic

- Show good attention to detail
- Work hard at my job
- Am well organized
- Have a strong work ethic
- Accept community standards *as* legitimate constraints on personal behavior

SELF FACTORS – NEGATIVE

I. Technical Incompetence

- Lack long-term vision

- Am too easily influenced by what others think

- Am reactive rather than proactive

- Fail to achieve technical competence in new areas

- Fail to stay focused on primary issues

II. Explosive/Abusive

- Use foul language excessively

- Have an arrogant, superior attitude

- Lose my temper

- Like to draw attention to myself

- Jump to conclusions

III. Rigid/Micromanagers

- Micromanage

- Nitpick

- Insist on precision in trivial matters

- Am a workaholic

- Look for the one perfect solution

IV. Arrogant/Self-Serving/Unethical

- Misuse subordinates to advance my own career.

- Allow others to take heat for my own failures.

- Behave with questionable ethics.

- Take credit for others' work
- Value my own career over the good of the organization.

SUPERIOR FACTORS – POSITIVE

I. Long-Term Perspective

- Appreciates the value of long range planning systems
- Has the capability to develop far-reaching policy
- Develops tangible long-term objectives
- Is capable of thinking clearly about far-reaching issues
- Values long-term gains over short-term performance

II. Empowering Subordinates

- Gains trust and support of subordinates
- Understands subordinates' point of view, their problems
- Treats subordinates *as* valuable team members
- Inspires subordinates to do their best
- Able to let key players take credit for their own ideas

III. Political Sensibility

- Accepts the fact that politics are a part of his/her profession

- Is sensitive to political issues that may affect his/her responsibilities
- Maintains good relations with outside interest groups
- Shows good judgment in politically sensitive matters
- Recognizes potential impact of the external political environment on his/her plans and programs

IV. Professional Maturity

- States his/her views without hesitation
- Is technically/tactically competent
- Is willing to go out on a limb for what he/she believes
- Can be counted on in key situations
- Works well under pressure

V. Conceptual Flexibility

- Is tolerant of uncertainty/ambiguity
- Is comfortable with paradoxical or contradictory issues that have no one right answer
- Remains focused and centered when unexpected changes occur
- Is quick to adjust when obstacles are encountered
- Sorts out what's really important from what isn't

VI. Strong Work Ethic

- Can be counted on to get a major new initiative started

- Is able to juggle several projects at one time

- Works hard at his/her job

- Is a quick study

- Can persuade others to support desired actions

SUPERIOR FACTORS-NEGATIVE

I. Technical Incompetence

- Lacks sufficient technical competence

- Fails to achieve technical competence in new areas

- Doesn't get the facts straight

- Is behind the power curve on key issues

- Is reluctant to make a decision without a consensus

II. Explosive Abusive

- Loses his/her temper

- Criticizes subordinates in front of others

- Talks down to subordinates

- Is autocratic

- Is vindictive

III. Arrogant/Self-Serving/Unethical

- Misuses subordinates to advance own career

- Values own career over the good of the organization

- Is impressed with own rank and status

- Takes special privileges for self

- Takes credit for others' work

IV. Rigid/Micromanages

- Micromanages

- Is a workaholic

- Looks for the one perfect solution

- Insists on precision in trivial matters

- Does subordinates' work for them

PEER FACTORS – POSITIVE

I. Team Performance Facilitation

- Gets subordinates the resources they need to do their job

- Selects good people in putting together a team

- Is objective about the performance of friends

- States own views without hesitation

- Moves quickly to confront problem subordinates

II. Empowering Subordinates

- Has a sincere interest in what others have to say

- Treats subordinates as valuable team members

- Has a good, non-hostile sense of humor

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- Is open minded

- Encourages subordinates to express their disagreement

III. Conceptual Flexibility

- Is comfortable taking credit for own accomplishments

- Values cultural diversity

- Actively manages own career direction

- Is tolerant of uncertainty/ambiguity

- Comfortable with paradoxical issues that have no right answer

IV. Quick Study/Perceptive

- Works hard at his/her job

- Takes charge in crisis situations

- Sorts out what's really important from what isn't

- Understands how unit's mission links with the larger mission

- Is a quick study

V. Political Sensibility

- Recognizes impact of political environment on own plans

- Shows good judgment in politically sensitive matters

- Accepts the fact that politics are a key part of my profession

- Maintains good relations with outside interest groups

• Sees the big picture

PEER FACTORS-NEGATIVE

I. Technical Incompetence

- Lacks sufficient technical competence
- Is behind the power curve on key issues
- Fails to achieve technical competence in new areas
- Has difficulty getting own work priorities straight
- Fails to learn technical aspects of what he/she is overseeing

II. Arrogant/Self-Serving/Unethical

- Is impressed with own rank and status
- Misuses subordinates to advance own career
- Values own career over the good of the organization
- Has an arrogant, superior attitude.
- Takes special privileges for self

II. Rigid/Micromanages

- Micromanages
- Is a workaholic
- Is intolerant of uncertainty
- Looks for the one perfect solution
- Nitpicks

IV. Explosive/Abusive

- Can't be political when it is called for
- Loses temper
- Uses foul language excessively
- Is not attuned to political realities
- Criticizes subordinates in front of others

SUBORDINATE FACTORS-POSITIVE

I. Complex Understanding

- Knows his/her business
- Is technically/tactically competent
- Can assimilate large amounts of technical information
- Is quick to develop an understanding of complex situations
- Is knowledgeable about how his/her profession really works

II. Empowering Subordinates

- Gives subordinates "space" or latitude to accomplish their mission
- Is open minded
- Is a good listener/approachable
- Encourages subordinates to express their disagreement

- Models open communication

III. Personal Objectivity

- Values cultural diversity
- Will tell subordinates things they don't necessarily want to hear about themselves
- Is working to correct his/her own weaknesses
- Communicates his/her personal standards to others
- Moves quickly to confront problem subordinates

SUBORDINATE FACTORS-NEGATIVE

I. Technical Incompetence

- Lacks sufficient technical competence
- Fails to learn important technical aspects of the business he/she is overseeing
- Is reluctant to make a decision without a consensus
- Is unwilling to rock the boat
- Lacks long-term vision

II. Explosive/Abusive

- Wants it done his/her way or no way
- Loses his/her temper
- Criticizes subordinates in front of others
- Berates subordinates who make honest mistakes

- Insists on precision in trivial matters

III. Arrogant/Self -Serving/Unethical

- Misuses subordinates to advance own career
- Take credit for others' work
- Behaves with questionable ethics
- Thinks the rules apply only to other people
- Takes special privileges for self

IV. Inaccessible

- Is invisible to subordinates
- Is aloof, unapproachable
- Fails to counsel subordinates about their weaknesses
- Is inaccessible to subordinates
- Is secretive-doesn't share own thinking with others

APPENDIX F. CONSTRUCTIVE BEHAVIORS

Behavior Style	Position on the Circumplex	Related to	Behaviors
Achievement	11 o'clock	Belief of "success is a result of efforts not of chance"	• Achieves self-set goals. • Believes that individual effort is important. • Accepts and shares responsibility. • Takes on challenging tasks. • Insightful in diagnosing problems.
Self-Actualizing	12 o'clock	Use personal abilities to reach where someone want to be.	• Receptive to change. • Creative problem solver. • Non-defensive. • Self-respecting.
Humanistic-Encouraging	1 o'clock	Coaching and supporting others.	• Encourages growth and development in others. • Resolves conflicts constructively. • Trustworthy. • Involves others in decision making. Motivates by serving as a role model.
Affiliative	2 o'clock	Establishing new partnerships, and maintaining and	• Cooperative. • Friendly. • Genuine concern for

		developing the current ones	others. - Accepts change.

Source: Official Website of Human Synergistics International

APPENDIX G. PASSIVE/DEFENSIVE BEHAVIORS

Behavior Style	Position on the Circumplex	Related to	Behaviors
Approval	3 o'clock	Belief of "the more I am liked, the more I'm valuable"	• Sets goals that please others. • Supports those with the most authority. • Agrees with everyone. • Reluctantly deals with conflict.
Conventional	4 o'clock	Maintaining status quo and avoiding from being spotted	• Treats rules as more important than ideas. • Follows policies and practices. • Reliable and steady. • Sets predictable goals and objectives.
Dependent	5 o'clock	Belief of "I cannot control, or change"	• Relies on others for direction. • A good follower. • Doesn't challenge others. • Aims to please everyone.
Avoidance	6 o'clock	Belief of "I must stay away from trouble"	• "Lays low" when things get tough. • Avoids conflict. • Has difficulty

			making decisions. • Is non-committal. • Hopes that problems will take care of themselves.

Source: Official Website of Human Synergistics International

APPENDIX H.   AGGRESSIVE/DEFENSIVE BEHAVIORS

Behavior Style	Position on the Circumplex	Related to	Behaviors
Oppositional	7 o'clock	The belief of "everybody is responsible for his mistakes"	• Opposes new ideas. • Looks for mistakes. • Resists change. • Critical of others.
Power	8 o'clock	The belief of "the more control I have on others, the more I'm valued"	• Wants to control everything. • Believes in force. • Has little confidence in people. • Seldom admits mistakes.
Competitive	9 o'clock	Compete hard, win, and gain others' praise	• Competes rather than cooperates. • Strong need to win. • Constantly compares self with others.
Perfectionist	10 o'clock	Trying to have everything done perfect.	• Never wants to make a mistake. • Sets unrealistic goals. • Personally takes care of every detail. • Creates self-induced stress.

Source: Official Website of Human Synergistics International

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APPENDIX I   THE ROYAL AUSTRALIAN NAVY'S RANKS

OFFICERS		
Rank	**Abbreviation**	**U.S. Equivalent**
Admiral	ADML	O-10
Vice Admiral	VADM	O-9
Rear Admiral	RADM	O-8
Commodore	CDRE	O-7
Captain	CAPT	O-6
Commander	CMDR	O-5
Lieutenant Commander	LCDR	O-4
Lieutenant	LEUT	O-3
Sub Lieutenant	SBLT	O-2
Acting Sub Lieutenant	ASLT	O-1
NON-COMMISSIONED OFFICERS & SAILORS		
Rank	**Abbreviation**	**U.S. Equivalent**
Warrant Officer	WO	E-6
Chief Petty Officer	CPO	E-5
Petty Officer	PO	E-4
Leading Seaman	LS	E-3
Able Seaman	AB	E-2
Seaman	SMN	E-1

Source: Official Website of the United States Navy

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